Fair Housing Initiatives and Housing Counseling Programs Application

1999

U.S. Department of Housing and Urban Development
Andrew Cuomo, Secretary

hud
YOUR COMMUNITY PARTNER

The information collection requirements contained in this notice of funding availability and application kit will be used to rate applications, determine eligibility, and establish grant amounts.

Selection of applications for funding under the **Housing Counseling Program** and the **Fair Housing Initiatives Program** is based on the rating factors for these programs listed in the SuperNOFA for Housing and Community Development Programs published on Feb. 26, 1999.

Public reporting burden for the collection of information for the Housing Counseling Program is estimated to average 13 hours and the reporting burden for the collection of information for the Fair Housing Initiatives Program is estimated to average 53 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

This agency may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB control number.

The information submitted in response to the notice of funding availability for the Housing Counseling Program and the Fair Housing Initiatives Program is subject to the disclosure requirements of the Department of Housing and Urban Development Reform Act of 1989 (Pub. L. 101-235, approved Dec. 15, 1989, 42 U.S. C. 3545).

Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties.
(18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

U. S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
WASHINGTON, D.C. 20410-0001

THE SECRETARY

February 26, 1999

Dear Friend:

In 1998, as part of our effort to streamline and improve the way we do business, the Department of Housing and Urban Development issued its first three Department-wide SuperNOFAs (Notice of Funding Availability). Previously, HUD issued as many as 40 individual NOFAs each year, with varying rules and application processing requirements. These different rules, procedures, publication schedules and funding approaches unintentionally posed barriers to comprehensive local planning and broad-based solutions. The old approach required communities to respond to HUD's needs instead of HUD responding to local needs.

When I became Secretary, I changed this ineffective approach to funding. The changes we made last year represented a significant improvement to our funding of local programs. We issued three comprehensive SuperNOFAs for: 1) housing and community development programs; 2) economic development and empowerment programs; and 3) targeted housing and homeless assistance. We even issued a guidebook to the SuperNOFA process, as well. Everyone interested in HUD funding has benefited from this consolidated approach.

For Fiscal Year 1999, HUD is further improving the funding process by issuing a single SuperNOFA. This SuperNOFA for HUD's Housing, Community Development and Empowerment Programs consolidates last year's three SuperNOFAs into just one. It encompasses HUD's economic development programs; our housing programs, including targeted housing and homeless assistance; as well as the Youthbuild and Self-Help Homeownership Opportunity Program. Finally, we are publishing it ahead of our 1998 schedule, giving you more time to coordinate, plan, and prepare your SuperNOFA application.

You can boost the impact of HUD's programs by combining them with other Federal, State or local resources. Our goal is to help you use the SuperNOFA process to create holistic, coordinated strategies that combine HUD support with other resources to make your community a better place to live.

Good Luck. We hope you are a successful applicant, and we look forward to working with you to address the needs and interests of your community.

Sincerely,

Andrew Cuomo

Application Kit 1999

Fair Housing Initiatives Program (FHIP) and Housing Counseling Program

Sponsored by the
U.S. Department of Housing and Urban Development
Andrew Cuomo, Secretary

General Instructions

To further HUD's objectives of improving customer service and providing you the necessary tools to revitalize your community, HUD is continuing the consolidation of competitive programs that it began with the FY 1998 SuperNOFA (Notice of Funding Availability). For FY 1999, numerous competitive programs are being consolidated into one SuperNOFA announcement. The goal of this consolidation is to make HUD's competitive grant programs easier to access, easier to understand, and easier to coordinate. By providing a menu of potential funding sources at one time during the year, your community will be able to create integrated solutions to problems in your community, and plan comprehensively.

As part of this consolidated approach, HUD has further streamlined the application process to reduce the administrative and paperwork burdens associated with applying for more than one program. We have grouped together separate HUD programs that provide similar types of assistance so that if you are eligible for, and want to apply for, more than one program, you do not have to create certain information required by each program more than once. These are first steps. HUD intends to streamline the application process even further next year by learning from you how it can be improved. A comment/suggestion form is included in this application kit. We hope that you will provide us with input so that we may continually improve the competitive grant process.

This application consolidates two programs for outreach, counseling and other services. Approximately, $31,600,000 is available as follows:

Program	**Approx. Amt.**
Housing Counseling Program	$ 16,600,000
Fair Housing Initiatives Program:	
Private Enforcement Initiative (PEI)	
- General Multi-Year Component	$ 7,800,000
- Joint Enforcement Project Component	$ 1,500,000
Education and Outreach Initiative (EOI)	
- Regional, Local and Community-based Program	
- General Component	$ 2,550,000
- Homeownership Component	$ 750,000
- Disability Component	$ 750,000
- National Program	
- Best Practices Component	$ 450,000
Fair Housing Organizations Initiative (FHOI)	
- Establishment of New Organizations Component	$ 800,000
- Continued Development Component	$ 400,000

The application materials for these programs have been included in one application because each program's activities complement and support the activities of the other. One of the goals of the Housing Counseling Program is to help tenants and homeowners meet the responsibilities of tenancy and homeownership, respectively. Included in these responsibilities is a need to understand how fair housing laws can expand and create new housing opportunities. Funding through the Fair Housing Initiatives Program (FHIP) can help support this. Similarly, projects that educate the public and enforce fair housing laws under FHIP could benefit from tenancy and homeownership counseling funded by the Housing Counseling Program.

If you are eligible for, and choose to apply for, both programs or more than one FHIP Component, you will find this to be a streamlined application process, since information on both programs is available in one application. In this way HUD has eliminated, the duplication associated with applying for these two programs. **Eligible applicants are not obligated to apply for funding under both programs.**

Application Parts

This application has four parts. Part I is the Housing Counseling Program. Part II is the Fair Housing Initiatives Program. Part III contains all of the required standard forms and certifications for both programs and an acknowledgment of receipt HUD will send to you upon receiving your application. Part IV is the SuperNOFA General Section and both Program Sections as published in the Federal Register.

Part I: Housing Counseling Program

Part I contains a description of, and the application materials and instructions for, the Housing Counseling Program. Additional information on this program can be found in HUD Handbook 7610.1 Housing Counseling Handbook (Rev.4) at http://www.HUD.gov. The Housing Counseling Program provides counseling and advice to tenants and homeowners to assist them in improving their housing conditions and meeting the responsibilities of tenancy and homeownership. Eligible applicants are agencies approved as housing counseling agencies by HUD on or before January 31, 1999, and State Housing Finance Agencies.

As a private or public nonprofit organization that provides housing counseling services to clients, directly or through affiliates or branches, you can apply to become a HUD-approved housing counseling agency. If you are interested in applying for HUD approval, please refer to the HUD Handbook described above, and the Question Section at the end of these General Instructions for contact information.

HUD continues to encourage Housing Counseling agencies to conduct community outreach activities to increase the awareness of homeownership opportunities for low- and moderate-income households, minorities and individuals with disabilities. This year HUD is again encouraging the counseling of first-time homebuyers through Homebuyer Education and Learning Program (HELP) training sessions, and the counseling of eligible persons 62 years of age and older who are in need of income, or home repairs to use a Home Equity Conversion Mortgage (HECM).

Part II: Fair Housing Initiatives Program (FHIP)

Part II contains a description of, and the application materials and instructions for, the Fair Housing Initiatives Program (FHIP). The regulations governing this program are attached to this application kit. The purpose of the FHIP Program is to increase compliance with the Fair Housing Act and substantially equivalent State and local fair housing laws.

A variety of organizations are eligible to apply for FHIP, including Qualified Fair Housing Organizations (QFHOs), Fair Housing Organizations (FHOs), public or private nonprofit organizations or institutions and other public or private entities that are working to prevent or eliminate discriminatory housing practices; State and local governments, and Fair Housing Assistance Program (FHAP) Agencies.

An FHO is a private, tax-exempt nonprofit charitable organization that is currently engaged in complaint intake and/or investigation, testing for fair housing violations, and enforcement of meritorious claims. A QFHO is a FHO with at least two years of experience aggregated over the preceding three-year period. Organizations interested in becoming a FHO should refer to the Question Section at the end of these General Instructions for contact information.

There are eight components under FHIP's three initiatives. A separate application must be submitted for each component for which funding is requested.

1. The Private Enforcement Initiative (PEI): The objective of the initiative is to support private fair housing enforcement organizations in their investigations of alleged violations of the Fair Housing Act and substantially equivalent State and local fair housing laws.

2. The Education and Outreach Initiative (EOI): The objective of this initiative is to assist projects which inform the public about their rights and obligations under the Fair Housing Act and substantially equivalent State and local fair housing laws, to educate the public about the procedure for filing claims with HUD, and to increase the referrals of credible, legitimate fair housing cases (complaints) and other information to HUD.

3. The Fair Housing Organizations Initiative (FHOI): The objective of this initiative is to establish new fair housing enforcement organizations and to build the capacity of newly established fair housing enforcement organizations to carry out enforcement activities.

Part III: Standard Forms and Certifications

Part III contains all of the forms and certifications for both programs. These forms and certifications are in addition to those required by the program(s) for which you are applying. A checklist of all required forms and certifications is included in Part 1 and Part II. You should review this checklist for all required forms and certifications.

Required for the Housing Counseling Program and/or the Fair Housing Initiatives Program (FHIP):

- Standard Form (SF)-424, Application for Federal Assistance, and the Application for Federal Assistance Funding Matrix

- Standard Form (SF)-424B, Assurances--Non-Construction Programs
- Form HUD-50070, Certification for a Drug-Free Workplace

- Form HUD-50071, Certification of Payments to Influence Federal Transactions, and Standard Form (SF)-LLL, Disclosure of Lobbying Activities, if applicable.

- Form HUD-2880, Applicant/Recipient Disclosure/Update Report, and additional instructions.

- Certification Regarding Debarment and Suspension

- Certification of Consistency with the EZ/EC Strategic Plan (as applicable) - Two bonus points will be awarded for eligible activities/projects proposed to be located in federally designated Empowerment Zones (EZ), Enterprise Communities (EC), and serve the EZ, EC, residents, and are certified to be consistent with the applicable strategic plan.

- Acknowledgment of Application Receipt (optional) - A receipt is provided for you to send with your application if you want HUD to notify you that your application was received.

Required for FHIP only: If you are applying for FHIP, the following items are required in addition to the forms and certification listed above.

- Listing of Current or Pending Grants/Contracts/Other Financial Agreements
- Certification of Consistency with the Consolidated Plan
- SF-424A Budget Information - Non-Construction Programs
- Proof of tax exempt status (applicable to PEI and FHOI)

Part IV: Super Notice of Funding Availability (NOFA)

Part IV contains the portions of the SuperNOFA, as published in the Federal Register on February 26, 1999, relevant to this application: the General Section including a listing of HUD State and Area Offices, the Housing Counseling Program Section, and the Fair Housing Initiatives Program section. The General Section describes the purposes of the SuperNOFA, the application submission requirements, and other general information. The Program Sections of the SuperNOFA contain important information on eligibility, funding amounts and eligible activities, detailed information on the rating factors and award selection processes to be used, and other information. You should pay close attention to both the General Section and the Program Section(s) as you prepare your application(s).

Scoring

HUD will review, rate and rank each program separately based on the criteria in the SuperNOFA. The maximum points for each program is 102 points. There are five factors that will be used to evaluate and assign (up to 100 points) for each application as follows: Factor 1 - Capacity of the Applicant and Relevant Organizational Experience, Factor 2 - Need/Distress/Extent of the Problem, Factor 3 - Soundness of Approach, Factor 4 - Leveraging Resources, and Factor 5 - Comprehensiveness and Coordination.

Two bonus points will be awarded for eligible activities/projects proposed to be located in federally designated Empowerment Zones (EZ), Enterprise Communities (EC), or Urban Enhanced Enterprise Communities (Enhanced EC) and serving the EZ, EC , or Enhanced EC resident. However, the EZ/EC or Enhanced EC must be determined to be high performing by HUD. HUD will publish a list of high performing EZ/EC in the Federal Register.

If you wish to be considered for these bonus points you should submit the Certification of Consistency with the EZ/EC Strategic Plan. Attached to this application kit is a listing of the EZs, ECs and contact information. You should, using this listing and HUD’s web site at http://www.HUD.gov, first identify whether your proposed activity/project will be located within the boundaries of an EZ or EC, and if so, whether it will serve the residents. If "yes", then you should have the official authorized to sign the Certification of Consistency with the EZ/EC Strategic Plan, sign and date the Certification which would be included in your submission to HUD.
If the EZ/EC or Enhanced EC has been determined to be high performing you will be awarded 2 bonus points.

Assembling Your Application

In recent years, HUD has received record numbers of applications. To help expedite HUD's review process, please assemble your application in the order indicated by the program for which you are applying. A checklist and specific instructions are included under Part I (for a Housing Counseling Program application) and Part II (for a FHIP application).

As an eligible organization applying for both programs, you must assemble and submit **a separate application for each program.** However, you have the option of preparing one narrative response to Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience and one narrative response to Rating Factor 5: Comprehensiveness and Coordination for both programs.. This eliminates the need for a separate narrative response for each program, because the narrative would provide information for both programs. Alternatively, you still have the option of preparing and submitting separate narratives for these factors for each program.

In addition, if you are applying for both programs, you have the option of submitting one complete set of all required forms and certifications. One set should contain original signatures, and should be accompanied by information stating which application has the set of original signatures. The second option is to submit a completed set of forms and certifications with original signatures for each program.

Where to Submit

You should consult the program parts (Part I and Part II) for the specific mailing addresses to send your completed application(s).

Questions

For answers to your questions on the **Housing Counseling Program**, you have two options. If you are a local housing counseling agency or state housing finance agencies, you may contact the HUD Homeownership Center serving your area as identified at the end of Part I. If you are a national, regional, and multi-state organizations, please contact William Feingold, Housing Specialist, Program Support Division, Office of Insured Single Family Housing, Room 9166, U.S. Department of Housing and Urban Development, Washington, D. C. 20410. The phone number is (202) 708-0317. The hearing impaired may access this number by calling the Federal Information Relay Operator at 1-800-877-8339 (TTY).

For answers to your questions on the **Fair Housing Initiatives Program**, you have two options. You may contact Ivy L. Davis, Director, FHIP/FHAP Support Division, Office of Programs at (202) 708-0800 (this is not a toll-free number). If you have a hearing or speech impairment you may call 1-800-290-1617. You may also call the SuperNOFA Information Center with questions at 1-800-HUD-8929. If you have a hearing or speech impairment, you may call the Center's TTY number at 1-800-483-2209.

Due Date

Completed applications for the Housing Counseling Program must be received no later than 6:00 p.m. local time on April 27, 1999 at the appropriate address identified in Part I.

Completed applications for the Fair Housing Initiatives Program (all Initiatives/Components) are due no later than 12:00 midnight, Eastern Standard Time on April 27, 1999 (see FHIP application instructions) at the address identified in Part II.

Part II:
The Fair Housing Initiatives Program (FHIP)

Part II: The Fair Housing Initiatives Program (FHIP)

Application Instructions

Application Submission

- Complete a separate application for each FHIP Initiative/Component for which you are requesting funding.

- Submit an **original and five (5) copies** of each application.
  Place a copy of the SF-424, Application for Federal Assistance, and attached Matrix showing the program(s) and/or FHIP Initiative and Component on top of the original application.

- Submit applications to:

FHIP SuperNOFA '99 (Specify Initiative and Component)
Office of Programs
FHIP/FHAP Support Division,
Fair Housing and Equal Opportunity,
U.S. Department of Housing and Urban Development
451 Seventh Street, S. W., Room 5234
Washington, DC 20410

When you submit your application, please provide your name, mailing address (including zip code) and telephone number (including area code) on the front of the mailing envelope.

Number each page of your application, including attachments, sequentially and organize the contents in the order designated in the Checklist.

Legibility, clarity and completeness are important and essential.

The narrative response for each of the five rating factors for award is limited to ten pages (this does not include forms or documents which are required under each factor). Pages exceeding that limit will not be evaluated. Furthermore, unrequested items, such as brochures and news articles, will not be considered. You should respond to each factor. Failure to provide narrative responses to all factors will result in your application not receiving points for the information omitted, which may significantly affect your application score.

Application Due Dates, Late Applications & Related Information

You must submit completed applications for all Initiatives/Components no later than 12:00 midnight, Eastern time on April 27, 1999 at HUD Headquarters. See the **General Section** of this SuperNOFA for specific procedures governing the form of application submission (e.g. mailed applications, express mail, overnight delivery, or hand carried).

All applications must be compiled in a fashion to permit copying. Other than the Education and Outreach Initiative National Program Best Practices Component, do not include brochures, manuals, newsletters, video tapes or other presentations.

Preference for Award Must be Stated. If your application does not state a funding preference as required by Section IV (A)(3) of the Program Section of the SuperNOFA, you application will be ineligible. -*

ELIGIBILITY CHART					
Initiative/Component	Allocation Amount Available	Applicant Eligibility	Eligible Activities	Project Period	Award Caps
PRIVATE ENFORCEMENT INITIATIVE (PEI) General Multi-Year Component	$7,800,000	QFHOs and FHOs (with at least one year of experience). Current recipients of PEI Multi-year funding may not be eligible. (See the "Eligible Applicants" Section III (A)(1)(b) of the FHIP SuperNOFA.)	See the “Eligible Activities" Section III (A)(1)(c) of the FHIP SuperNOFA. .	24-36 months	$300,000 single projects. $600,000 for part-nership projects.
PEI -- Joint Enforcement Project Component	$1,500,000	QFHOs and FHOs (with at least one year experience). (See Regulations at 24 CFR 125.401). You must include a memorandum of understanding (MOU) from all project participants describing the signatories duties and responsibilities (See SuperNOFA for details).	See Section III (A) (2)(c) of the FHIP SuperNOFA	24-36 months	$300,000 .
EDUCATION AND OUTREACH INITIATIVE (EOI) -- Regional, Local and Community-Based Program: General Component	$2,550,000	QFHOs, FHOs, and public or private organizations that are formulating or carrying out programs to prevent or eliminate discriminatory housing practices. (See Section III(B)(1)(b) of SuperNOFA)	See Section III (B)(1) (c) of the SuperNOFA.	18 months	$300,000
EOI - Homeownership Component	$ 750,000	Same as EOI General Component.	See Section III.(B)(1)(c) of the SuperNOFA.	18 months	$150,000
EOI - Disability Component	$ 750,000	Same as EOI General Component.	See Section III (B)(1)(c) of the SuperNOFA.	18 months	$150,000
EOI - National Program: Best Practices Component	$450,000	Same as EOI General Component.	See Section III (B)(3)(a) (iii) of the SuperNOFA	18 months	$225,000

ELIGIBILITY CHART					
Initiative/Component	Allocation Amount Available	Applicant Eligibility	Eligible Activities	Project Period	Award Caps
FAIR HOUSING ORGANIZATIONS INITIATIVE (FHOI) Establishment of New Organizations Component	$800,000	Only QFHOs are eligible to apply under this component. (See Section III.(C)(1)(b) of the SuperNOFA.	See Section III (C)(1)(c) of the SuperNOFA.	24-36 months	$400,000
FHOI - Continued Development Component	$400,000	Organizations previously funded as new organizations under FHOI-ENOC. A list of these organizations is provided in Appendix I of the FHIP SuperNOFA.(See Section III (C)(2)(b) of the SuperNOFA.	See Section III (C)(2)(c) of the SuperNOFA.	24 months	$200,000

Checklist for Completeness of Application

Use this checklist to ensure that your application includes all required items

Check when included	Response Item
☐	Copy of SF-424 (Place a copy of the SF-424 and attached HUD-424-M (Matrix) on top of application package. This should **not** be the originals.)
☐	Cover Page
☐	Checklist
☐	Statement of Eligibility
☐	Project Abstract Outlining Project Activities
☐	Factor No. 1 Response
☐	Factor No. 2 Response
☐	Factor No. 3 Response
☐	Proposed Statement of Work
☐	Proposed Budget, Narrative and SF-424-A
☐	Factor No. 4 Response
☐	Factor No. 5 Response
☐	Responses to Additional Requirements for Specific Initiative/Component
	PEI and FHOI Applicants - Proof of tax exempt status
	PEI - JEP Applicants - Memorandum of Understanding (MOU)
	Application Forms and Certifications
☐	SF-424 Application for Federal Assistance and HUD-424-M (Matrix)
☐	SF-424-A Budget Information - Non-construction Programs
☐	SF-424-B Standard Assurances - Non-construction Programs
☐	Applicant Disclosure Report (HUD-2880)
☐	Certification of Payments to Influence Federal Transactions (HUD-50070)
☐	OMB SF-LLL Disclosure of Lobbying Activities
☐	Certification for a Drug-Free Workplace (HUD-50070)
☐	Certification of Consistency with the EZ/EC Strategic Plan (HUD-2990), if applicable
☐	Certification of Consistency with the Consolidated Plan (HUD-2991)
☐	Certification Regarding Debarment and Suspension (HUD-2992)
☐	Listing of Current or Pending Financial Agreements
☐	Acknowledgment of Application Receipt (HUD-2993)

STATEMENT OF ELIGIBILITY

Attach the Completed Statement of Eligibility required for each Initiative/Component for which you are applying. (You may attach additional pages if necessary.)

++

PRIVATE ENFORCEMENT INITIATIVE

FOR ALL PEI APPLICANTS:

1) Organizational Status

Is your organization a private, tax-exempt, nonprofit, charitable organization?

❑ **YES** ❑ **NO**

a) If yes, have you included proof of your status with your application.

❑ **YES** ❑ **NO**

Are you a Qualified Fair Housing Organization (QFHO) or a Fair Housing Organization (FHO)?

❑ **YES** ❑ **NO**

Please circle whether a QFHO or an FHO.

QFHO (see attached FHIP regulations)

FHO (see attached FHIP regulations)

3) Briefly describe your experience directly related to each of the following areas of enforcement activities that your organization conducted for at least one year (during the past two years). It is not necessary that the activities were conducted simultaneously nor for consecutive/continuous years, as long as each activity has been conducted for one year. You may aggregate your experience in each activity over the two-year period preceding your application to meet the one-year qualification period requirement. Responses should include both narrative and quantitative data. (Do not limit this description to FHIP funded enforcement activities.)

a) **Number of complaints received and processed, by basis (e.g. race, color, religion, sex, disability, familial status, and national origin) and issue (e.g. rental, sales, lending).**

b) **Description of your testing program, including number of tests conducted (both individual and systemic) and number of tests by basis and issue.**

c) **Description of investigative experience, apart from testing, conducted by your organization.**

d) **Summary of complaint referrals to HUD for investigation or other enforcement actions.**

e) **Summary of complaint outcomes, including judicial and administrative findings; number of pending complaints; and number of awards and amount to plaintiffs of monetary/non-monetary relief.**

FOR PEI GENERAL MULTI-YEAR COMPONENT APPLICANTS:

4) Are you currently receiving a PEI-Multi-Year grant?

❑ **YES** ❑ **NO**

a) If yes, please provide grant number and expiration date for funding.

(i) Grant Number:

(ii) Expiration date of the above identified grant:

5) Have you made clear you are submitting under the PEI-Multi-Year General Component as either a single project or as a partnership project?

Please check the appropriate box:

❑ **A single Project** ❑ **A Partnership Project**

a) If you are submitting as a partnership project, please provide the following information for EACH PARTNER:

6) Partner Name

7) Organizational Status

Is your organization a private, tax-exempt, nonprofit, charitable organization?

❑ **YES** ❑ **NO**

a) If yes, have you included a proof of your status with your application.

❑ **YES** ❑ **NO**

8) Briefly describe your experience directly related to each of the following areas of enforcement activities that your organization conducted for at least one year (during the past two year period). It is not necessary that the activities were conducted simultaneously nor for consecutive/continuous years, as long as each activity has been conducted for one year. You may aggregate your experience in each activity over the two-year period preceding your application to meet the one-year qualification period requirement. Responses should include both narrative and quantitative data. (Do not limit this description to FHIP funded enforcement activities.)

a) Number of complaints received and processed, by basis (e.g. race, color, religion, sex, disability, familial status, and national origin) and issue (e.g. rental, sales, lending).

b) Description of your testing program, including number of tests conducted (both individual and systemic) and number of tests by basis and issue.

c) Description of investigative experience, apart from testing, conducted by applicant.

d) Summary of complaint referrals for investigation or other enforcement actions.

e) Summary of complaint outcome, including judicial and administrative findings; number of pending complaints; and number of awards and amount to plaintiffs of monetary/non-monetary relief.

FOR PEI-JEP APPLICANTS:

9) Have you included a Memorandum of Understanding (MOU) signed by all project participants describing the duties and responsibilities of the signatories?

❑ **YES** ❑ **NO**

10) Are you an FHO, with at least one year's experience in complaint intake, complaint investigation, testing for fair housing violations and meritorious claims?

❑ **YES** ❑ **NO**

STATEMENT OF ELIGIBILITY

EDUCATION AND OUTREACH INITIATIVE
NATIONAL, REGIONAL/LOCAL/COMMUNITY-BASED PROGRAMS

1) Are you one of the following applicants:

❑ **YES** ❑ **NO**

Please circle your Appropriate Organizational Status

(A) State or local government;

(B) Qualified fair housing enforcement organization (QFHO);

(C) Fair housing enforcement organization (FHO);

(D) Public or private non-profit organization or institution and other public or private entity that is formulating or carrying out programs to prevent or eliminate discriminatory housing practices; and

(E) Fair Housing Assistance Program (FHAP) Agency (State and local agency funded by FHAP)

STATEMENT OF ELIGIBILITY

FAIR HOUSING ORGANIZATIONS INITIATIVE
ESTABLISHING NEW ORGANIZATIONS COMPONENT

For All FHOI Applicants:

1) Organizational Status

Is your organization a private, tax-exempt, nonprofit, charitable organization?

❑ **YES** ❑ **NO**

If yes, have you included proof of your status with your application.

2) Briefly describe your experience directly related to each of the following areas of enforcement activities that your organization conducted for at least one year (during the past two year period). It is not necessary that the activities were conducted simultaneously nor for consecutive/continuous years, as long as each activity has been conducted for one year. You may aggregate your experience in each activity over the three-year period preceding your application to meet the one year qualification period requirement. Responses should include both narrative and quantitative data. (Do not limit this description to FHIP funded enforcement activities.)

a) Number of complaints received and processed, by basis (e.g. race, color, religion, sex, disability, familial status, and national origin) and issue (e.g. rental, sales, lending).

b) Description of your testing program, including number of tests conducted (both individual and systemic) and number of tests by basis and issue.

c) Description of investigative experience, apart from testing, conducted by your organization.

d) Summary of complaint referrals to HUD for investigation or other enforcement actions.

e) Summary of complaint outcomes, including judicial and administrative findings; number of pending complaints; and number of awards and amount to plaintiffs of monetary/non-monetary relief.

STATEMENT OF ELIGIBILITY

FAIR HOUSING ORGANIZATIONS INITIATIVE
CONTINUED DEVELOPMENT COMPONENT (CDC)

FOR ALL CDC APPLICANTS:

1) Organizational Status

Is your organization a private, tax-exempt, nonprofit, charitable organization?

❑ **YES** ❑ **NO**

a) If yes, have you included proof of your status with your application?

❑ **YES** ❑ **NO**

2) Briefly describe your experience directly related to each of the following areas of enforcement activities that your organization recently conducted. Responses should include both narrative and quantitative data. (Do not limit this description to FHIP funded enforcement activities.)

a) Number of complaints received and processed, by basis (e.g. race, national origin, disability) and issue (e.g. rental, sales, lending).

b) Description of your testing program, including number of tests conducted (both individual and systemic) and number of tests by basis and issue.

c) Description of investigative experience, apart from testing, conducted by your organization.

d) Summary of complaint referrals to HUD for investigation or other enforcement actions.

e) Summary of complaint outcome, including judicial and administrative findings; number of pending complaints; and number of awards and amount to plaintiffs of monetary/non-monetary relief.

3) Are you a Qualified Fair Housing Organization (QFHO) or a Fair Housing Organization (FHO)?

❑ **YES** ❑ **NO**

Please circle whether a QFHO or a FHO

QFHO (see attached FHIP regulations)

FHO (see attached FHIP regulations)

4) Is your organization a recipient of a previous Establishing New Organizations Component award?

❑ **YES** ❑ **NO**

If yes, please provide the grant number of the ENOC award and expiration date of that award.

a) Grant Number:
b) Expiration date of the above identified grant:

PROJECT ABSTRACT

Provide a brief abstract that summarizes the proposed project. The abstract should not exceed one page in length.

SUMMARY OF PROGRAM REQUIREMENTS/THEMES

Outlined below is a brief description of FHEO 's FY '99, program requirements and themes. You should show how you plan to:

Increase Enforcement Actions: All funded activities must contribute to HUD's goal to increase the number of enforcement actions. This goal was initially announced by the Secretary in 1997. Applications will be rated and ranked on their contribution to this goal.

Initiate Mandatory Referrals: PEI/FHOI awardees are required to refer to HUD all (1) complaints with no bona fide complainant, and (2) bona fide complaints (complaints can be referred simultaneously to HUD and in State or Federal court) unless complainant says in writing the complaint should not be referred to HUD.

Educate New Immigrants/Underserved Populations: For the PEI/EOI General Components, applicants will be given up to 5 points in Rating Factor 2 (Need/Distress/Extent of the Problem), to address education and enforcement activities for underserved populations (defined as new immigrants (especially ethnic minorities who are not English speaking) rural populations, persons with disabilities and the homeless). For the EOI National Program - Best Practices Component, applications which fail to address the needs of this population will receive a significantly lower score for this rating factor.

Improve Testing: To ensure better quality testing, you must adhere to the following requirements: (1) testing experience - you must provide proof of your testing experience when submitting your application, (2) testing methodology/tester training: HUD must review and approve all non-rental testing methodology/tester training before the grantee can begin its testing program or draw down testing funds.

RESPONSES TO FHIP RATING FACTORS

Each application for funding will be evaluated competitively under one of the following initiatives/components:

(A) Private Enforcement Initiative (PEI):
- (1) General Multi-Year Component (either as Single or Partnership)
- (2) Joint Enforcement Project Component

(B) Education and Outreach Initiative (EOI):
- Regional/Local/Community-Based Program:
  - (1) General Component
  - (2) Homeownership Component
  - (3) Disability Component
- National Program:
  - Best Practices Component

(C) Fair Housing Organizations Initiative (FHOI):
- (1) Establishing New Organizations Component
- (2) Continuing Development Component

Complete all the information requested in the following rating factors. In addition, the National Program has a separate set of rating factors. HUD will evaluate and rank your application according to these rating factors. Therefore, it is very important that you carefully review and respond to each factor.

Provide a brief response to rating factors 1 through 5. Applicants are limited to 10 pages of narrative responses for each of the five rating factors (this does not include forms or documents which are required under each factor). Any pages in excess of 10 will be removed from the package prior to evaluation. Manuals, brochures, news articles or unrequested documents included in the application will **not** be considered in the evaluation process.

If you are submitting multiple applications (i.e. to the Housing Counseling and/or one or more FHIP components), for Factors 1 and 5 you have the choice of preparing a single comprehensive response or an individual response tailored to each application. If a single comprehensive response is prepared, include a copy of the response in all applications submitted. In Factor 5, for all applications except the National Program of the Education and Outreach Initiative, discuss your involvement in the Consolidated Plan and other community involvement not only as it relates to your proposed activities but with regard to your total involvement in the community. Factor 5, for the National Program, describe the extent to which you coordinate your activities with other organizations and are creating linkages with other activities in your project area.

The response to each Factor should be clear, concise and complete. Lengthy responses do not necessarily result in favorable funding determinations.

IMPORTANT NOTE

All activities and materials funded by FHIP must be reasonably accessible to persons with disabilities.

Factors for Award Used to Evaluate and Rate all Applications except the National Program of the Education and Outreach Initiative. The factors for rating and ranking applicants and the maximum points for each factor, are provided below. The maximum number of points to be awarded any application is 102. This includes two EZ/EC bonus points, as described in the General Section of the SuperNOFA.

Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience (20 points)

The corresponding rating factor can be found in the FHIP section of the SuperNOFA in Part IV of this application kit.

One Program. If you are submitting an application for just the Housing Counseling Program **or just one** of the Fair Housing Initiatives Program (FHIP) components, respond by writing and submitting a separate narrative description for the Housing Counseling Program, or a separate narrative description for the FHIP Initiative/Component for which you are applying. **Your narrative should not exceed 10 pages.**

Both Programs or Multiple FHIP Components. If you are submitting an application for **both** the Housing Counseling Program **and/or** one or more FHIP Components, you have two options. The first option is to write a comprehensive narrative response so it provides complete information for **both** the Housing Counseling Program and the FHIP Component(s).

When you submit your separate application for multiple FHIP Components, submit the identical combined narrative in its entirety in response to Rating Factors #1. **Your combined narrative must clearly provide all requested information for both programs, or in the case of multiple FHIP Components, for each Component. Your narrative response should not exceed 10 pages.**

The second option is to simply write and submit a separate narrative for the Housing Counseling Program and a separate narrative for each FHIP Component (if applying for more than one) in response to this rating factor. **Your narrative response should not exceed 10 pages. Please refer to the general instructions at the beginning of this application for additional information on applying for both programs.**

This factor addresses the extent to which you have the organizational resources necessary to successfully implement your proposed activities in a timely manner.

(1) **Specific Description of Staff for Proposed Activities (10 points).**

Describe the knowledge and recent, relevant and successful experience of your proposed project director and staff (including the day-to-day program manager, consultants and subrecipients) in planning and managing programs for which you're requesting funding. Describe your readiness and ability to **begin on the date specified in the Statement of Work .**" For any personnel, including subrecipients, not yet hired or selected, describe the qualifications (in terms of required knowledge and experience) to be considered in the selection and how quickly the selection process will be completed.

For each identified employee and consultant/subrecipient assigned to the project, identify the titles, and describe the proposed number of staff hours and the duties to be performed.

(2) **Specific Description of Experience Relevant to the Proposed Activities. (10 points).**
Ten (10) points will be assessed for either (a) or (b):

> (a) Describe your past grant experience. Indicate how you implemented activities; measured your progress; and assessed your performance in achieving stated goals and objectives. HUD will also consider any documented evidence of your failure under past awards to comply with grant award provisions;
>
> For previous FHIP grantees, Identify the HUD grant number for each project (if more than one) and include a copy of your most recent Standard Form (Sf) 259a, Financial Status Report, for each project. HUD will consider its progress reviews for current grants, closeouts assessments on grants

closed within 18 months of the NOFA deadline, and any other evidence that documents performance under previous FHIP grants. **or**

For the Housing Counseling Program, see Part I, Application Instructions, #15 (b).

(b) If you have not received funding in the past, describe your demonstrated experience in managing programs, and carrying out management responsibilities for programs similar in scope or nature to the work activities proposed. If you have managed large, complex, interdisciplinary programs, include that information in your response.

Rating Factor 2: Need/Distress/Extent of the Problem (25 Points)

The corresponding rating factor can be found in the FHIP section of the SuperNOFA in Part IV of this application kit.

This factor addressed the extent to which there is a need to fund your proposed activities and an indication for the urgency of meeting the need in your target area(s). In addition, if you are applying under the General Components of PEI and/or EOI, describe the fair housing needs of new immigrants and other underserved populations (you will be given up to 5 points, if you address their needs).

(1) **Documentation of Need (15 points).**

Describe the extent to which there is a need for your project activities in your target area. This description should also include the needs of new immigrants and other underserved populations for those applying under the PEI-General and EOI-General Components. In addition, explain the urgency in meeting the need using statistics and analyses contained in a data source(s) that is sound and reliable. You should discuss the level of need for your proposed activities and document the level of need in the specific area where your activities will be carried out. Attention must be paid to documenting need where activities will be targeted, rather than the entire locality or State. If your target area is an entire locality or State, then documenting need at this level is appropriate. To the extent that your proposed activities are covered under the scope of your community's Consolidated Plan (CP) and Analysis of Impediments to Fair Housing Choice (AI) you should identify these documents and describe the level of the problem and urgency of need. In addition, your proposal should reference the extent to which project activities will affirmatively further fair housing (AFFH), by describing how proposed activities will assist in overcoming impediments to fair housing choice identified in the jurisdiction's AI, which is a component of the jurisdiction's Consolidated Plan (CP), or other planning document that addresses fair housing issues. Additional examples of how you may document need may be obtained from Chapter 5 of the "Fair Housing Planning Guide, Vol. 1." Document the level of need through the use of HUD reports and analyses, relevant economic and/or demographic data including indices of segregation in areas by race or national origin, government or foundation reports and studies, news articles, and other information which relate to your proposed activities.

For applications submitted under the General Components of PEI and EOI, 5 of the 15 points will be awarded to proposals which describe the needs of underserved populations. When describing the need of underserved populations, you should include: (1) the extent to which there is an urgent and/or unmet need for undertaking eligible activities aimed at underserved population in the area to be served, and (2) describe a strategy for providing fair housing services to these populations.

(2) **Rationale for Proposed Activities and Methods (10 points).**

Describe the extent to which your proposal provides a rationale for how the proposed activities and methods most effectively deal with the need you described in responding to the preceding sub-factor. You should discuss how you took into account existing and planned efforts of government agencies, community-based organizations, faith-based institutions, for-profit firms, and other entities to address such needs in the community(ies) to be served, how your proposed program complements or supplements existing efforts and why additional funds are being requested.

Rating Factor 3: Soundness of Approach (35 Points)

The corresponding rating factor can be found in the FHIP section of the SuperNOFA in Part IV of this application kit.

This factor addresses the quality and cost-effectiveness of your proposed Statement of Work. You must show a clear relationship between your project activities, community needs and the purpose of the program funding to receive points for this factor. In addition, HUD has pledged to substantially increase its enforcement actions, all projects funded under this NOFA shall contribute to the accomplishment of this goal.

(1) **Description of Proposed Activities (15 points).**

Describe your proposed activities that specifically relate to complaints (cases) being referred to HUD during the period of performance of the grant and explain how your proposed activities will contribute to referral of enforcement proposals to HUD. In addition, explain how your program activities will support HUD goals, identify performance measures/outcomes in support of these goals, and identify current (baseline) conditions, and the target level of the performance measure that you plan to achieve. If your past activities have resulted in successful enforcement proposals being referred to HUD, describe these actions and the outcome of such referrals.

(a) Examples of enforcement proposals include:

(i) Allegations that are supported by evidence that meet the requirements for a filed complaint under the Fair Housing Act, including *prima facie* evidence, with or without related testing evidence;

(ii) Results of testing or audits demonstrating potential housing discrimination;

(iii) Well-developed analysis of data including Home Mortgage Disclosure Act(HMDA), Community Reinvestment Act (CRA) Analyses, Census data, current studies of residential segregation, or other similar documentation supporting allegations of discrimination; and

(iv) Referrals of claims to HUD on behalf of individuals or groups other than your organization.

(b) Your application must provide a basis for your specific activities relating to enforcement proposal referrals to HUD and your projected number of enforcement proposal referrals that are described in your Statement of Work. Your final performance measures for enforcement proposal referrals will be negotiated between you and HUD as part of the executed grant agreement and will be based upon your proposal.

(2) **Statement of Work (10 points).**

Prepare a Statement of Work (SOW) using the format provided, which highlights the major objectives. Include a chart that details your specific tasks/deliverables and the timelines for completion/submission of each task/deliverable. The SOW should show a proposed start date of no later than September 30, 1999. Both a sample and a blank SOW are attached.

Additionally, your SOW should be an efficient, effective and feasible SOW that:

(a) Describes in broad terms the design and objectives of your proposal, including the geographic area to be served, the protected classes to be served, the end product(s), program improvements to be achieved; total number of staff needed to complete all proposed activities and projected referrals to HUD; key personnel by years of experience, name and function; and the number of referrals for enforcement you expect to refer to HUD. You must also describe how program objectives for the program for which you are seeking funding will be met (e.g., enforcement efforts (PEI), through education and outreach (EOI), creating or building the capacity of a fair housing organization (FHOI).

(b) Outline in chronological order your administrative and program tasks to be performed and the duration of the project. Your outline should identify all tasks and sub-tasks to be performed and by whom, i.e., you or a subrecipient, deliverables which will be provided to HUD and when; and technically competent methodologies you will use to carry out these tasks.

All specific activities necessary to complete your proposed project must be included in your task listing. In judging your management approach, HUD will consider your identification of specific tasks. .

Include quantitative data for activities to be done more than once, e.g. testing or educational seminars. Quantities should indicate a minimum number which you propose to perform and match the costs proposed in your budget. Do not use indefinite quantities such as "up to 100 complaints". For quantities regarding tests, which include several tester visits, clarify how you are defining the numbers. For example, "Conduct 100 tests" can mean to conduct 300 tester visits in 100 sandwich tests or to conduct 100 tester visits with 100 testers who request permission to modify a unit to make it accessible. A tester visit is not a test in situations where at least one other person is needed as a control. However, the number of tester visits may vary depending on the circumstances. Please be specific and identify both the number of tests and the proposed number of tester visits proposed for the task.

Proposed “Deliverables” should be adequate for HUD to assess both the quality and quantity of the work performed under each task. Where lists are included, if names should be confidential, such as names of testers, include a description to show sex, race, national origin, location or other descriptive factors needed to assess the task.

The "Delivery by" column in the SOW shows the date by which you intend to submit completed work for each task. In judging your management approach, HUD will consider the reasonableness of dates for implementation.

(3) **Budget and Financial Controls (10 points).**

Prepare the two budget forms following this factor (Budget Information - Non-Construction Programs **and** Budget Narrative Work Plan). These budget forms must show the total cost of your proposed project and indicate other sources of funds that will be used for your project. Your budget must include $3,000 for 18 month projects and $6,000 for multi-year projects for travel costs for training sponsored or approved by the Department. While the costs are based only on estimates, your budget narrative work plan must include information on individual elements of the cost estimates. The estimated cost elements may be based upon information such as quotes obtained from various vendors or you may rely on historical data. Budget requests must be supported by back-up documentation which must be ready for submission if requested subsequent to notification of award.

Generally, estimated costs for high-cost items, consultants and subrecipients should be supported by bids from at least 3 sources. Where there are travel costs for consultants and subrecipients, you should show that you unsuccessfully searched for local consultants and subrecipients or that the travel costs for out-of- town contractors combined with rates and fees charged do not exceed amounts for rates and fees charged by local consultants and subrecipients.

All PEI-JEP application budgets should include any costs related to subcontract(s) with project participants which account for activities related to the subrecipient's role in the project. A separate detailed budget for each subcontract should be included in the application.

(A sample Budget Information - Non-Construction Programs form and a sample Budget Narrative Work Plan are included, as well as blank forms.) You should ensure that the amounts reflected for each budget line item category for both Federal and In-Kind costs are transferred to the appropriate areas of the SF-424-A **(NOTE: If you are submitting a multi-year project proposal, a single budget must be prepared which includes the total costs for your budget over the proposed project period; however, you should retain individual yearly budgets for future reference purposes.)**

Check that there is consistency between the Budget and the Statement of Work and among the Budget, the SF 424 and SF 424A.

Provide a copy of your most recent financial audit as well as a certification from an Independent Public Accountant or the appropriate government auditor, stating the financial management system that you employed, meets the prescribed standards of fund control and accountability required by 24 CFR 84.21 for non-profit or 24 CFR 85.20 for State and local governments. If any audit in the last three years showed any problems or major financial audit findings, list the problems and describe how the findings were resolved.

Assessment of the Budget will include the following:

(a) The quality, thoroughness and reasonableness of the cost estimates provided;
(b) The extent to which the program is cost effective in achieving the anticipated results of the proposed activities as well as in achieving significant community impact.

In addition, this sub-factor will assess the extent to which you demonstrate capability in handling financial resources with adequate financial control procedures and accounting procedures. Considerations will include findings identified in your most recent audits, internal consistency in the application of numeric quantities, accuracy of mathematical calculations and other available information on financial management capability.

EXPLANATORY DOCUMENTS PROVIDED

+ Sample Statement of Work (SOW)
+ Blank Statement of Work format
+ Sample SF-424A Budget Information-Non-Construction Programs
+ Instructions for the SF-424A
+ Blank SF-424A Budget Information-Non-Construction Programs form
+ Sample Budget Narrative Work Plan
+ Blank Budget Narrative Work Plan format

NOTE: REFER TO THE LIST OF ELIGIBLE AND INELIGIBLE ACTIVITIES IN THE SuperNOFA FOR THE INITIATIVE/COMPONENT FOR WHICH YOU ARE APPLYING IN PREPARING THE STATEMENT OF WORK. ADDRESS NEEDS IDENTIFIED IN FACTOR 2. INSERT MORE LINES AS NECESSARY IN THE SOW FORMAT.

THIS IS A SAMPLE SOW FOR A PEI GRANT ANYSTATE FAIR HOUSING COUNCIL SAMPLE STATEMENT OF WORK FOR ANYSTATE FAIR HOUSING COUNCIL

The recipient, ANYSTATE FAIR HOUSING COUNCIL, agrees to undertake the following activities in accordance with its 1999 application for funding under the PEI for a twenty-four-month project commencing September 30, 1999. The activities will occur statewide. The audit testing will be in the state's three major metropolitan areas.

- Provide Fair Housing Enforcement training to at least 30 staff, volunteers and board members.
- Conduct Outreach and Education targeted at victims of discrimination with special emphasis on mortgage lending and sales problems.
- Develop and distribute fair housing materials to 100 community groups to enable them to more effectively address fair housing issues.
- Conduct a Statewide Fair Housing Summit for at least 75 persons from fair housing related agencies to coordinate activities and resources.
- Recruit and train at least 20 additional testers throughout the state in fair housing, including mortgage lending testing.
- Perform 200 paired tests, conducting at least 400 site visits, for administrative and judicial enforcement based on complaints received and agency-identified targets. Conduct other investigative support to secure information such as property searches, document reviews, canvassing and witness interviews. Where there is evidence of different treatment, refer complainant to HUD, State or local enforcement agency or private attorney.
- Perform systemic testing of mortgage lenders and real estate firms. Identify sites where there may be region-wide discrimination and commence systemic testing. These tests will be included in the total of 200 paired tests for the overall project.
- Refer at least 100 enforcement proposals to HUD. This means well-developed, timely, jurisdictional, potential complaints under the Fair Housing Act.

Press releases and any other product intended to be disseminated to the public must be submitted to the Government Technical Representative (GTR) 2 weeks before release for approval and acceptance. Subcontracts for work under this grant must also be approved by the GTR.

No recipient of assistance under the Fair Housing Initiatives Program may use any funds provided by the Department for the payment of expenses in connection with litigation against the United States. None of the funds may be used to investigate or prosecute under the Fair Housing Act any otherwise lawful activity engaged in by one or more persons, including the filing or maintaining of a non-frivolous legal action, that is engaged in solely for the purpose of achieving or preventing action by a government official or entity, or a court of competent jurisdiction.

Recipients of funds under this program must conduct audits in accordance with 24 CFR part 44 or 24 CFR part 45, as appropriate.

Submit two copies of all final products (with diskette, where feasible) to the U.S. Department of Housing and Urban Development, Fair Housing and Equal Opportunity, Fair Housing Initiatives Program, 451 Seventh Street, S. W., Washington, DC, 20410.

The recipient will provide the following work products on the dates specified below to the GTR and GTM. Quarterly means within 30 days after the end of every three month period commencing three months after the effective date of the award.

ADMINISTRATIVE TASKS			
TASKS	DELIVERABLES	DELIVERY BY	DELIVERY POINT
1. Assign to Project: Project Coordinator, Bookkeeper, Secretary	Names of persons assigned and number of hours to be spent on project. Resumes of persons not included in Application.	45 days	GTR/GTM
2. Recruit Fair Housing Specialist and Tester Coordinator	Copy of announcement; Plan for affirmative recruitment with list of recruitment sources	45 days	GTR/GTM
3. Hire Fair Housing Specialist and Tester Coordinator	Name, date of hire and Resume of persons hired	90 days	GTR/GTM
4. Retain consultant to facilitate Fair Housing Summit	Name and resume of consultant; Copy of service agreement	90 days	GTR/GTM
5. Subcontract for training of attorneys	Copy of draft and final contract(s)	90 days	GTR/GTM
6. Complete HUD-2880 Disclosure Statement	Submit Disclosure Statement. If no changes occur, submit statement of no change with final report.	When changes occur	GTR/GTM
7. Complete SF-269A Financial Status Report and Written Quarterly Status Reports on All Activities	Submit SF-269A and Copy of Written Report	Quarterly	GTR/GTM
8. Complete Annual Report on First Year Activities	Submit Annual Report	395 days	GTR/GTM
9. Voucher for Payment	Submit payment request to LOCCS	Per Payment Schedule	GTR/GTM
10. Complete Listing of Current or Pending Grants/Contracts/Other Financial Agreements	Submit Listing for Recipient and for any contractors and/or subrecipients	45 days and At end of Grant	GTR/GTM
11. Prepare and Submit Draft of Final Report	Submit Draft of Report. Report Summary should include: Results from Education and Outreach activities; Number of Complaints Received; Basis of Complaints; Number of Tests Conducted; Number of Complaints Filed with HUD, State or local Fair Housing Agency, Department of Justice or Private Litigator; and Types of Relief/Results.	At end of 23rd month.	GTR/GTM
12. Complete Final Report and Provide Copies of All Final Products Not	Submit a copy of the Final Report and All Final Products not previously submitted to GTR; a copy of Final Report and All Final Products to GTM;	At end of 24th month (grantee has up to 90	GTR/GTM

ADMINISTRATIVE TASKS			
TASKS	DELIVERABLES	DELIVERY BY	DELIVERY POINT
Previously Submitted		days after end to submit final report)	
13. Submit 2 copies of the Final Report and all Final Products (with diskette, where feasible) to HUD.	Copy of HUD database entry sheet(s) or detailed description of items submitted.	At end of Grant Term	GTR/GTM/

KEY PERSONNEL
Executive Director - Josephine Right
Project Coordinator - Jose Derecho
Fair Housing Specialist - To be hired
Testing Coordinator - To be hired

PROGRAM TASKS			
TASKS	DELIVERABLES	DELIVERY BY	DELIVERY POINT
1. Contact HUD and/or other information sources to obtain any appropriate materials prior to implementation of project or development of new materials	List of materials requested	90 days	GTR/GTM. Submit one copy of **all final products** to HUD
2. Review/refine referral process to refer potential victims to HUD, DOJ, a state or local agency, or a private attorney	Copy of Referral Process. All audit-based enforcement actions should be referred to HUD.	45 days	GTR/GTM
3. Intake and process complaints, including testing and referral. Refer at least 100 credible, legitimate, enforcement proposals to HUD. Complete Enforcement Log which details complaints received; dates; the protected basis of these complaints; the issue, test type, and number of tests utilized in the investigation of each allegation; the respondent type and testing results; the time for case processing, including administrative or judicial proceedings; the cost of testing	Submit Enforcement Log	Quarterly	GTR/GTM

PROGRAM TASKS			
TASKS	DELIVERABLES	DELIVERY BY	DELIVERY POINT
activities and case processing; to whom the case was referred; and resolution/type of relief sought and received.			
4. Determine fair housing training needed by staff, volunteers and board members and provide training or register for appropriate courses or conferences for at least 30 persons	Training schedule with name, date and place of course and presenting organization; Copy of training agenda and materials; date(s) of training; list of persons trained with name and position	Quarterly	GTR/GTM
5. Conduct education and outreach to community with emphasis on Fair Lending and Sales	Copy of outreach plan; Copy of materials used; and Dates and places of outreach	90 days	GTR/GTM
6. Develop fair housing outreach materials for distribution to community groups	Copy of materials and distribution letter	90 days	GTR/GTM
7. Distribute materials to at least 100 groups	Copy of mailing list	90 days	GTR/GTM

PROGRAM TASKS			
TASKS	DELIVERABLES	DELIVERY BY	DELIVERY POINT
8. Set date, location for state-wide fair housing summit	Date and location	90 days	GTR/GTM
9.. Develop format and agenda for summit	Copy of draft format, agenda and materials	90 days	GTR/GTM
10. Publicize summit to secure attendees	Copy of publicity materials and list of places publicized; Copy of registration letter and mailing list	180 days	GTR/GTM
11. Conduct summit for at least 75 persons and evaluate success	List of attendees with name and organization; Copy of agenda, materials used and evaluation.	270 days	GTR/GTM
12. Publicize results of summit	Copy of draft report for GTR approval. Copy of final report and distribution list.	270 days	GTR/GTM
13. Develop testing methodology for use in training testers and in conducting tests	Copy of non-rental testing methodology and tester training must be received/approved by HUD	60 days	GTR/GTM
14. Recruit 20 new testers*	Copy of recruitment plan and materials to be used	90 days and then Quarterly	GTR/GTM
15. Train 20 new testers for rental and sales tests	Copy of draft training materials for GTR approval, copy of final training materials, dates of training and list of testers trained by sex, race, national origin, location	180 days and then Quarterly	GTR/GTM
16. Train all testers and new staff for mortgage lending and sales testing	Copy of draft training materials for GTR approval, copy of final training materials, dates of training and list of testers trained by sex, race, national origin, location	180 days and then Quarterly	GTR/GTM
17. Conduct 200 paired tests, including 40 fair lending or sales tests	Reports of each test and data in enforcement log	Quarterly	GTR/GTM
18. Conduct additional investigation where appropriate, including: property searches; document reviews; location of offices; canvassing; witness interviews, etc.	Quarterly reports of investigations - combine with report above	Quarterly	GTR/GTM

PROGRAM TASKS			
TASKS	DELIVERABLES	DELIVERY BY	DELIVERY POINT
19. Evaluate test results and revise tester profiles and/or any other aspects needing change	Copy of evaluation	180 days	GTR/GTM
20. Conduct tester training refresher course	Copy of agenda, materials used; list of trainees by sex, race, nat'l origin and date of prior training	180 & 540 days	GTR/GTM

*Testers in testing activities funded with FHIP funds must not have prior felony convictions or convictions of crimes involving fraud or perjury, and they must receive training or be experienced in testing procedures and techniques. Testers and the organizations conducting tests, and the employees and agents of these organizations may not:

(1) Have an economic interest in the outcome of the test, without prejudice to the right of any person or entity to recover damages for any cognizable injury;

(2) Be a relative of any party in a case;

(3) Have had any employment or other affiliation, within one year, with the person or organization to be tested; or

(4) Be a licensed competitor of the person or organization to be tested in the listing, rental, sale, or financing of real estate.

INCLUDE **ALL** TASKS SHOWN ON THIS FORM.

STATEMENT OF WORK FOR

The recipient, , agrees to undertake the following activities in accordance with its 1999 application for funding under the Initiative-- Component for a - month project commencing ,1999 in the geographic area of .

–

–

–

–

–

Press releases and any other product intended to be disseminated to the public must be submitted to the Government Technical Representative (GTR) for approval and acceptance, 2 weeks prior to release. Subcontracts for work under this grant must also be approved by the (GTR) prior to execution.

No recipient of assistance under the Fair Housing Initiatives Program may use any funds provided by the Department for the payment of expenses in connection with litigation against the United States. None of the funds may be used to investigate or prosecute under the Fair Housing Act any otherwise lawful activity engaged in by one or more persons, including the filing or maintaining of a non-frivolous legal action, that is engaged in solely for the purpose of achieving or preventing action by a government official or entity, or a court of competent jurisdiction.

Recipients of funds under this program must conduct audits in accordance with 24 CFR Part 44 or 24 CFR Part 45, as appropriate.

Submit two copies of all final products (with diskette, where feasible) to the U.S. Department of Housing and Urban Development, Fair Housing and Equal Opportunity, Fair Housing Initiatives Program, 451 Seventh Street, S. W., Washington, DC 20410.

The recipient will provide the following work products on the dates specified below to the GTR and GTM. Quarterly means within 30 days of the end of every three month period commencing three months after the effective date of the award.

ADMINISTRATIVE TASKS			
TASKS	DELIVERABLES	DELIVERY BY	DELIVERY POINT
1.			GTR/GTM
2.			GTR/GTM
3.			GTR/GTM
4.			GTR/GTM
5.			GTR/GTM
6. Complete HUD-2880 Disclosure Statements	Submit Disclosure Statement. If no changes occur, submit statement of no change with final report	When changes occur	GTR/GTM
7. Complete SF-269A Financial Status Report and Written Quarterly Status Reports on All Activities	Submit SF-269A and Copy of Written Report	Quarterly	GTR/GTM
8. Voucher for Payment	Submit payment request to LOCCS	Per Payment Schedule	GTR/GTM
9. Complete Listing of Current or Pending Grants/Contracts/Other Financial Agreements	Submit Listing for Recipient and any contractors	45 Days and At end of Grant	GTR/GTM
10. Prepare summary of First Year (24 month grants)	Submit summary of first year accomplishments.	395 days	GTR/GTM

ADMINISTRATIVE TASKS			
TASKS	DELIVERABLES	DELIVERY BY	DELIVERY POINT
11. Prepare and Submit Draft of Final Report	Submit Draft of Report. Report Summary should include objectives, accomplishments and results. Complaint and testing activities should summarize data on complaints received and tests conducted by basis and issue and outcomes including Number of credible, legitimate Complaints Filed with HUD, State or local Fair Housing Agency, Department of Justice or Private Litigator; and Types of Relief/Results.	One month before end of grant term.	GTR/GTM
12. Complete Final Report and Provide Copies of All Final Products Not Previously Submitted	Submit a copy of the Final Report and All Final Products not previously submitted to GTR and GTM.	Within 90 days after end of grant term.	GTR/GTM
13. Submit 2 copies of Final Report and all Final Program Deliverables produced under the Grant (with diskette, where feasible) to HUD.	Deliverables and database entry sheet(s) to HUD Copy of HUD database entry sheet(s) or detailed description of items submitted to GTR and GTM	Within 90 days after end of grant term.	GTR/GTM/

KEY PERSONNEL

Title Name

PROGRAM TASKS			
TASKS	DELIVERABLES	DELIVERY BY	DELIVERY POINT
1. Contact HUD and/or other information sources to obtain any appropriate materials prior to development of new materials	List of materials requested	90 days	GTR/GTM. Submit one copy of **all final products** to HUD
2. Review/refine referral process to refer potential victims to HUD, DOJ, a state or local agency, or a private attorney	Copy of Referral Process. All audit-based enforcement actions should be referred to HUD.	45 days	GTR/GTM
3. Intake and process complaints, including testing and referral. Refer at least ____ enforcement proposals to HUD. Complete Enforcement Log which details complaints received; dates; the protected basis of these complaints; the issue, test type, and number of tests utilized in the investigation of each allegation; the respondent type and testing results; the time for case processing, including administrative or judicial proceedings; the cost of testing activities and case processing; to whom the case was referred; and resolution/type of relief sought and received. (PEI and FHOI PROJECTS ONLY)	Submit copy of Enforcement Log and a Report on number of enforcement proposals referred to HUD.	Quarterly	GTR/GTM
4. Non-rentalTesting methodology and tester training must be received/approved by HUD..	Submit testing methodology and tester training to HUD for review and approval.	60 days	GTR/GTM
			GTR/GTM
			GTR/GTM
			GTR/GTM

PROGRAM TASKS			
TASKS	DELIVERABLES	DELIVERY BY	DELIVERY POINT
			GTR/GTM
			GTR/GTM
			GTR/GTM
			GTR/GTM
			GTR/GTM
			GTR/GTM
			GTR/GTM
			GTR/GTM
			GTR/GTM

*Testers in testing activities funded with FHIP funds must not have prior felony convictions or convictions of crimes involving fraud or perjury, and they must receive training or be experienced in testing procedures and techniques. Testers and the organizations conducting tests, and the employees and agents of these organizations may not:

(1) Have an economic interest in the outcome of the test, without prejudice to the right of any person or entity to recover damages for any cognizable injury;
(2) Be a relative of any party in a case;
(3) Have had any employment or other affiliation, within one year, with the person or organization to be tested; or
(4) Be a licensed competitor of the person or organization to be tested in the listing, rental, sale, or financing of real estate.

Budget Information — Non-Construction Programs
SAMPLE

OMB Approval No. 0348-0044

Section A - Budget Summary

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. **FHIP**	**14.413**	$	$	$ **130,744**	$ **23,016**	$ **153,760**
2.						
3.						
4.						
5. Totals		$	$	$ **130,744**	$ **23,016**	$ **153,760**

Section B - Budget Categories

6. Object Class Categories	Grant Program, Function or Activity				Total
	(1) **FHIP**	(2) **In-Kind**	(3)	(4)	(5)
a. Personnel	$ **62,936**	$ **18,392**	$	$	$ **81,328**
b. Fringe Benefits	**19,291**	**-0-**			**19,291**
c. Travel	**7,020**	**400**		`	**7,420**
d. Equipment	**2,850**	**400**			**3,250**
e. Supplies/Materials	**1,543**	**324**			**1,867**
f. Contractual/consultants	**7,500**	**2,000**			**9,500**
g. Subcontractors	**3,500**	**-0-**			**3,500**
h. Other Direct Costs	**13,770**	**1,500**			**15,270**
i. Total Direct Charges (sum of 6a-6h)	**118,410**	**23,016**			**141,426**
j. Indirect Charges	**12,334**	**-0-**			**12,334**
k. **Totals** (sum of 6i and 6j)	**130,744**	**23,016**			**153,760**
7. Program Income	$	$	$	$	$

SAMPLE

Section C - Non-Federal Resources

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) **Totals**
8. **FHIP**	$ **23,016**	$	$	$ **23,016**
9.				
10.				
11.				
12. **Total** (sum of lines 8 - 11)	$ **23,016**	$	$	$ **23,016**

Section D - Forecasted Cash Needs

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal **(For FHIP, Projects of 18 months or less are defined as 1-year)**	$ **130,744**	$ **49,223**	$ **25,000**	$ **36,521**	$ **20,000**
14. Non-Federal	**23,016**	**5,754**	**5,754**	**5,754**	**5,754**
15. **Total** (sum of lines 13 and 14)	$ **153,760**	$ **54,977**	$ **30,754**	$ **42,275**	$ **25,754**

Section E - Budget Estimates of Federal Funds Needed for Balance of the Project

(a) Grant Program	**Future Funding Periods (Years)**			
	(b) First	(c) Second	(d) Third	(e) Fourth
16.	$	$	$	$
17.				
18.				
19.				
20. **Total** (sum of lines 16-19)	$	$	$	$

Section F - Other Budget Information

21. Direct Charges	22. Indirect Charges
$118,410	**$12,334**

23. Remarks

Budget Information — Non-Construction Programs

OMB Approval No. 0348-0044

Section A - Budget Summary

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. **FHIP**	**14.**	$	$	$	$	$
2.						
3.						
4.						
5. Totals		$	$	$	$	$

Section B - Budget Categories

6. Object Class Categories	Grant Program, Function or Activity				Total
	(1) **FHIP**	(2) **In-Kind**	(3)	(4)	(5)
a. Personnel	$	$	$	$	$
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies/Materials					
f. Contractual/consultants					
g. Subcontractors					
h. Other Direct Costs					
i. Total Direct Charges (sum of 6a-6h)					
j. Indirect Charges					
k. **Totals** (sum of 6i and 6j)					
7. Program Income	$	$	$	$	$

Section C - Non-Federal Resources

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) **Totals**
8. **FHIP**	$	$	$	$
9.				
10.				
11.				
12. **Total** (sum of lines 8 - 11)	$	$	$	$

Section D - Forecasted Cash Needs

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal **(For FHIP, Projects of 18 months or less are defined as 1-year)**	$	$	$	$	$
14. Non-Federal					
15. **Total** (sum of lines 13 and 14)	$	$	$	$	$

Section E - Budget Estimates of Federal Funds Needed for Balance of the Project

	Future Funding Periods (Years)			
(a) Grant Program	(b) First	(c) Second	(d) Third	(e) Fourth
16.	$	$	$	$
17.				
18.				
19.				
20. **Total** (sum of lines 16-19)	$	$	$	$

Section F - Other Budget Information

21. Direct Charges	22. Indirect Charges

23. Remarks

Instructions for the SF-424A

Public Reporting Burden for this collection of information is estimated to average 3.0 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Please do not return your completed form to the Office of Management and Budget; send it to the address provided by the sponsoring agency .

General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the later case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

Section A. Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a **single** Federal grant program (Federal Domestic Assistance Catalog number) and **not requiring** a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a **single** program **requiring** budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in **Column** (a) and the respective catalog number on each line in Column (b).

For applications pertaining to **multiple** programs where one or more programs **require** a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g)

For new applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

Line 5—Show the totals for all columns used.

Section B. Budget Categories

In the column headings (a) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a-i—Show the totals of Lines 6a to 6h in each column.

Line 6j—Show the amount of indirect cost.

Line 6k—Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

Line 7—Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

Section C. Non-Federal Resources

Lines 8-11—Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a)—Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b)—Enter the contribution to be made by the applicant.

Column (c)—Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d)—Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e)—Enter totals of Columns (b), (c), and (d).

Line 12—Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f) Section A.

Section D. Forecasted Cash Needs

Line 13—Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14—Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15—Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

Lines 16-19—Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

Line 20—Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F. Other Budget Information

Line 21—Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22—Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23—Provide any other explanations or comments deemed necessary.

SAMPLE BUDGET NARRATIVE WORK PLAN FORMAT

Name of Organization: Fair Housing Council of Gotham
Budget Period: 24 months

Budget must reflect costs for entire project period. (PEI budget must be for 24-36 months, EOI budget for 18 months, FHOI-ENOC budget for 24-36 months and FHOI-CDC for 24 months.

Position or Individual	Estimated Hours	Rate Per Hour	Estimated Cost	Federal Cost	In-Kind Cost
Executive Director	364	$ 30.00	$ 10,920.00	$ 10,920.00	-0-
Project Director	1092	$ 20.00	$ 21,840.00	$ 10.920.00	$ 10,920.00
Fair Housing Specialist	2080	$ 14.95	$ 31,096.00	$ 31,096.00	$ -0-
Secretary	2080	$ 8.50	$ 17,472.00	$ 10,000.00	$ 7,472.00
TOTAL DIRECT LABOR			$ 81,328.00	$ 62,936.00	$ 18,392.00
Fringe Benefits	**Rate**	**Base**	**Estimated Cost**	**Federal Cost**	**In-Kind Cost**
F.I.C.A.	0.0765	$ 62,936.00	$ 4,815.00	$ 4,815.00	$ 1,407.00
Unemployment Insurance[1]	0.064	$ 62,936.00	$ 4,028.00	$ 4,028.00	$ 1,177.00
Health Insurance[2]	0.16	$ 62,936.00	$ 10,070.00	$ 10,070.00	$ 1,747.00
Workers Compensation[1]	0.006	$ 62,936.00	$ 378.00	$ 378.00	$ 110.00
TOTAL FRINGE BENEFITS			$ 19,291.00	$ 19,291.00	$ 4,441.00

[1] Rates shown are for example purposes only. Rates may vary by State.
[2] Rates may vary by organization.

Materials	**Quantity**	**Unit Cost**	**Estimated Cost**	**Federal Cost**	**In-Kind Cost**
Software	1 each	$ 1,500.00	$ 1,500.00	$ 1,500.00	$ -0-
Pens	12 boxes	$ 1.50	$ 18.00	$ 18.00	$ -0-
Copy Paper	18 reams	$ 18.00	$ 324.00	$ -0-	$ 324.00
Letter File Folders	10 boxes	$ 2.50	$ 25.00	$ 25.00	$ -0-
TOTAL MATERIALS			$ 1,867.00	$ 1,543.00*	$ 324.00
Local Travel	**Mileage/Fare**	**Rate/Mile**	**Estimate Cost**	**Federal Cost**	**In-Kind Cost**
Private Vehicle	2600	$ .325	$ 780.00	$ 780.00	$ -0-
Bus	32	$ 1.25	$ 40.00	$ 40.00	$ -0-
SUBTOTAL LOCAL TRAVEL			$ 820.00	$ 820.00	$ -0-

* Materials/Equipment prices must be supported by vouchers/cash register receipts of same or similar item or lease quotes from vendor at time of budget negotiation

Air Travel Destination	**Number of Travelers**	**Roundtrip Fare**	**Estimated Cost**	**Federal Cost**	**In-Kind Cost**
Any City, USA (met with State Officials)	$	$ 400.00	$ 800.00	$ 400.00	$ 400.00
Subtotal Air Travel			$ 800.00	$ 400.00	$ 400.00
Other Travel Items	**Quantity**	**Unit Cost**	**Estimated Cost**	**Federal Cost**	**In-Kind Cost**
HUD Sponsored Training		$ 3,000.00	$ 3,000.00	$ 3,000.00	$ -0-
Parking	40	$ 5.00	$ 200.00	$ 200.00	$ -0-
Subtotal Other Travel			$ 3,200.00	$ 3,200.00	$ -0-
Per Diem Subsistence	**Number of Travelers**	**Number of Days/Rate Per Day**	**Estimated Cost**	**Federal Cost**	**In-Kind Cost**
Travel to Any City, USA	2	3/$100	$ 600.00	$ 600.00	$ -0-
Per Diem Subsistence			$ 600.00	$ 600.00	$ -0-
TOTAL TRAVEL			$ 5,420.00	$ 5,020.00*	$ 400.00

Equipment	Quantity	Unit Cost	Estimate Cost	Federal Cost	In-Kind Cost
TTY Machine	1	$ 350.00	$ 350.00	$ 350.00	$ -0-
Fax Machine	1	$ 400.00	$ 400.00	-0-	$ 400.00
Computer & Printer (18 month lease)	1	$ 2,500.00	$ 2,500.00	$ 2,500.00	$ -0-
TOTAL EQUIPMENT COSTS			$ 3,250.00	$ 2,850.00**	$ 400.00
Consultants	**Days**	**Rate Per Day**	**Estimated Cost**	**Federal Cost**	**In-Kind Cost**
Attorney	10	$ 325	$ 3,250.00	$ 3,250.00	$ -0-
Trainer	3	$ 150	$ 450.00	$ 450.00	$ -0-
Sales Tester(2)	40	$ 35	$ 2,800.00	$ 2,800.00	$ -0-
Accountant	12.5	$ 160	$ 2,000.00	-0-	$ 2,000.00
Sign Language Interpreter	10	$ 100	$ 1,000.00	$ 1,000.00	$ -0-
TOTAL CONSULTANTS			$ 9,500.00	$ 7,500.00***	$ 2,000.00

* All travel must be grant related and rates not exceed the Federal rate

** Lease/purchase of equipment must be supported by three quotes at time of budget negotiation

***Daily rate cannot exceed $375 per day unless waiver is obtained from Grant Officer

Subcontracts	Rate/Service	Quantity	Estimated Cost	Federal Cost	In-Kind Cost
Spanish Language Brochure	Translation and Printing	10,000 copies	$ 3,500.00	$ 3,500.00	$ -0-
TOTAL SUBCONTRACTS			$ 3,500.00	$ 3,500.00*	$ -0-
Other Direct	**Quantity**	**Unit Cost**	**Estimated Cost**	**Federal Cost**	**In-Kind Cost**
Telephone	18 months	$ 250/mon.	$ 4,500.00	$ 3000.00	$ 1,500.00
Postage	1,000	$ .033 cents	$ 330.00	$ 330.00	$ -0-
Rent (lease cost for 18 months)	500 sq.ft.	$ 20/sq. ft.	$ 10,000.00	$ 10,000.00	$ -0-
Meeting Space	3 1-days meetings	$ 150/day	$ 450.00	$ 450.00	$ -0-
TOTAL OTHER DIRECT			$ 15,280.00	$ 13,780.00	$ 1,500.00
Indirect	**Rate**	**Base**	**Estimated Cost**	**Federal Cost**	**In-Kind Cost**
Overhead	15%**	Direct labor + Fringe Benefits ($62,936 + $19,291)	$ 12,334.00	$ 12,334.00	$ -0-
TOTAL INDIRECT			$ 12,334.00	$ 12,334.00	$ -0-
			Total Estimated Cost	**Total Federal Cost**	**Total In-Kind Cost**
TOTAL COSTS			$151,770.00	$128,754.00	$ 27,457.00
Amount To Enter on Form 424 Funding Matrix			$	$128,754.00	$

*When individual subcontract fees exceed 10% of your grant amount, an itemized budget is required. Your FHOI-CDC application must include detailed budgets for subcontractual arrangements you will have with new organizatiton(s) which you propose to sponsor.

** If you have a Federally negotiated indirect rate, you should use that rate and the appropriate base in this section. In all other instances, you should include your current overhead rate, if any, which has been tailored to your organization's operating budget. The rate and base used here is illustrative only and you must use your organization's rate.

BUDGET NARRATIVE WORKPLAN FORMAT

Name of Organization: _______________
Budget Period: _____ months

Position or Individual	Estimated Hours	Rate Per Hour	Estimated Cost	Federal Cost	In-Kind Cost
		$	$	$	$
		$	$	$	$
		$	$	$	$
		$	$	$	$
TOTAL DIRECT LABOR			$	$	$
Fringe Benefits	**Rate**	**Base**	**Estimated Cost**	**Federal Cost**	**In-Kind Cost**
F.I.C.A.		$	$	$	$
Unemployment Insurance[1]		$	$	$	$
Health Insurance[2]		$	$	$	$
Workers Compensation[1]		$	$	$	$
TOTAL FRINGE BENEFITS			$	$	$
Materials	**Quantity**	**Unit Cost**	**Estimated Cost**	**Federal Cost**	**In-Kind Cost**
		$	$	$	$
		$	$	$	$
		$	$	$	$
		$	$	$	$
TOTAL MATERIALS			$	$ *	$
Local Travel	**Mileage/Fare**	**Rate/Mile**	**Estimate Cost**	**Federal Cost**	**In-Kind Cost**
		$	$	$	$
		$	$	$	$
SUBTOTAL LOCAL TRAVEL			$	$	$

* Materials/Equipment prices must be supported by vouchers/cash register receipts of same or similar item or lease quotes from vendor at time of budget negotiation

[1] Rates may vary by State.
[2] Rates may vary by organization.

Air Travel Destination	**Number of Travelers**	**Roundtrip Fare**	**Estimated Cost**	**Federal Cost**	**In-Kind Cost**
	$	$	$	$	$
Subtotal Air Travel			$	$	$
Other Travel Items	**Quantity**	**Unit Cost**	**Estimated Cost**	**Federal Cost**	**In-Kind Cost**
		$	$	$	$
		$	$	$	$
Subtotal Other Travel			$	$	$
Per Diem Subsistence	**Number of Travelers**	**Number of Days/Rate Per Day**	**Estimated Cost**	**Federal Cost**	**In-Kind Cost**
			$	$	$
Per Diem Subsistence			$	$	$
TOTAL TRAVEL			$	$ *	$
Equipment	**Quantity**	**Unit Cost**	**Estimate Cost**	**Federal Cost**	**In-Kind Cost**
		$	$	$	$
		$	$	$	$
		$	$	$	$
TOTAL EQUIPMENT COSTS			$	$ **	$
Consultants	**Days**	**Rate Per Day**	**Estimated Cost**	**Federal Cost**	**In-Kind Cost**
		$	$	$	$
		$	$	$	$
		$	$	$	$
		$	$	$	$
		$	$	$	$
TOTAL CONSULTANTS			$	$ ***	$

* All travel must be grant related and rates not exceed the Federal rate

** Lease/purchase of equipment must be supported by three quotes at time of budget negotiation

***Daily rate cannot exceed $375 per day unless waiver is obtained from Grant Officer

Subcontracts	**Rate/Service**	**Quantity**	**Estimated Cost**	**Federal Cost**	**In-Kind Cost**
			$	$	$
TOTAL SUBCONTRACTS			$	$ *	$
Other Direct	**Quantity**	**Unit Cost**	**Estimated Cost**	**Federal Cost**	**In-Kind Cost**
		$	$	$	$
		$	$	$	$
		$	$	$	$
		$	$	$	$
TOTAL OTHER DIRECT			$	$	$
Indirect	**Rate**	**Base**	**Estimated Cost**	**Federal Cost**	**In-Kind Cost**
	**		$	$	$
TOTAL INDIRECT			$	$	$
			Total Estimated Cost	**Total Federal Cost**	**Total In-Kind Cost**
TOTAL COSTS			$	$	$
Amount To Enter on Form 424 Funding Matrix			$	$	$

*When individual subcontract fees exceed 10% of your grant amount, an itemized budget is required. Your FHOI-CDC application must include detailed budgets for subcontractual arrangements you will have with new organization(s) which you propose to sponsor.

** If you have a Federally negotiated indirect rate, you should use that rate and the appropriate base in this section. In all other instances, you should include your current overhead rate, if any, which has been tailored to your organization's operating budget. The rate and base used here is illustrative only and you must use your organization's rate.

Rating Factor 4: Leveraging Resources (10 Points)

The corresponding rating factor can be found in the FHIP section of the SuperNOFA in Part IV of this application kit.

This factor addresses your ability to secure community resources (**Note:** financing is a community resource) which can be combined with HUD's program resources to achieve program purposes. In other words, to what extent can you get groups in the community to work with you**. Your narrative response should not exceed 10 pages**. In evaluating this factor HUD will consider:

(1) **Extent to Which Applicant has Secured Other Resources (5 points)**

List estimated monetary contributions, in-kind or donated resources, such as services or equipment, from public or private sources that will be used to carry out your proposed project activities and show how the resources are necessary for the purpose(s) of the award. HUD will consider whether the resources are clearly related to and necessary for your proposed activities.

List and describe other groups you have partnered with to secure additional resources to increase the effectiveness of the proposed activities. You may also partner with other FHIP-funded recipients to coordinate the use of resources in the project area.

Describe the efforts that you took to secure support for your project, including unsuccessful efforts and reasons they were unsuccessful.

(2) **Evidence of firm commitment of leveraging (5 points)**

Provide evidence of leveraging/partnerships such as letters of firm commitment, memorandum of understanding, or agreements to participate from local groups identified as partners in your application. Each letter of commitment, memorandum of understanding, or agreement to participate should: (a) identify the organization, (b) describe the proposed level of commitment, (c) outline the responsibilities as they relate to the proposed project, and (d) be signed by an official of the organization legally able to make commitments on behalf of the organization. If you are applying under the PEI-JEP you must submit a memorandum of understanding in support of the leveraged partnership. Resources that are firmly committed must be reflected in the in-kind portion of your Budget.

Rating Factor 5: Comprehensiveness and Coordination (10 Points)

The corresponding rating factor can be found in the FHIP section of the SuperNOFA in Part IV of this application kit.

<u>One Program</u>. If you are submitting an application for just the Housing Counseling Program **OR just one** Component of the Fair Housing Initiatives Program (FHIP), respond by writing and submitting a separate narrative response for the Housing Counseling Program, or a separate narrative response for the FHIP Component for which you are applying. **Your narrative response should not exceed 10 pages.**

<u>Both Programs or Multiple FHIP Components.</u> If you are submitting an application for **both** the Housing Counseling Program **AND/OR** one or more FHIP Components other than the FHIP National Education and Outreach Program, you have two options. The <u>first option</u> is to write a narrative response so it provides complete information for **both** the Housing Counseling Program and the other than National Program FHIP Component(s) (See Factor #5 of the National Education and Outreach Initiative - Best Practices Component below for information on submitting a narrative response on this Component.)

When you submit your separate applications for multiple FHIP Components, other than the National Education and Outreach Program, submit the identical narrative in its entirety in response to Rating Factor #5. **Your narrative must clearly provide all requested information for both programs, or in the case of multiple FHIP Components, for each Component. Your narrative response should not exceed 10 pages.**

The second option is to simply write and submit a separate narrative for the Housing Counseling Program **and** a separate narrative for each FHIP Component (if applying for more than one) in response to this rating factor. **Your narrative response should not exceed 10 pages. Please refer to the general instructions at the beginning of this application for additional information on applying for both programs, and/or more than one FHIP component.**

This factor addresses the extent to which you coordinate your activities with other organizations in the project area, participate or promote participation in the project area's Consolidated Planning process (including Analysis of Impediments to Fair Housing Choice), and are creating linkages with other activities in the community.

Describe the specific steps your organization took to identify and coordinate its proposed activities with those of other groups or organizations prior to submission. Include in your description how your proposed activities will complement and support all known activities and if funded, the specific steps your organization will take to share information on solutions and outcomes with other–local groups. Any written agreements, memorandum of understanding in place, or that will be in place after award should be described.

(1) Describe how your project activities will reach the targeted audience. This includes a discussion of how:

(a) your methods or approaches will ensure that your project activities and materials are made available to local groups and organizations, and

(b) your project can enhance the activities or work in tandem with groups or organizations in your project area. At a minimum, your application should discuss procedures you will use to promote awareness of the services provided by your proposed project.

(2) Identify and describe how your project activities will make communities and organizations in your project area aware of opportunities for linking activities with:

(a) other proposed or on-going HUD-funded program activities;
(b) other proposed or on-going State, Federal, local or privately funded activities which, taken as a whole, support and sustain a comprehensive system to address the purpose of these programs; and
(c) other activities being undertaken to address barriers to housing choice identified in the Consolidated Plan's Analysis of Impediments to Fair Housing Choice.

Factors for Award Used to Evaluate and Rate Applications for the National Education and Outreach Initiative Program

The factors for rating and ranking applicants and the maximum points for each factor, are provided below. The maximum number of points to be awarded any application is 102. This includes two EZ/EC bonus points, as described in the **General Section** of the SuperNOFA.

Rating Factor 1: Capacity of Applicant and Relevant Organizational Experience (20 Points).

The corresponding rating factor can be found in the FHIP section of the SuperNOFA in Part IV of this application kit.

One Program. If you are submitting an application for just the Housing Counseling Program **or just one** of the Fair Housing Initiatives Program (FHIP) components, respond by writing and submitting a separate narrative description for the Housing Counseling Program, or a separate narrative description for the FHIP Initiative/Component for which you are applying. **Your narrative should not exceed 10 pages.**

Both Programs or Multiple FHIP Components. If you are submitting an application for **both** the Housing Counseling Program **and/or** one or more FHIP Components, you have two options. The first option is to write a comprehensive narrative response so it provides complete information for **both** the Housing Counseling Program and the FHIP Component(s).

When you submit your separate application for multiple FHIP Components, submit the identical combined narrative in its entirety in response to Rating Factors #1. **Your combined narrative must clearly provide all requested information for both programs, or in the case of multiple FHIP Components, for each Component. Your narrative response should not exceed 10 pages.**

The second option is to simply write and submit a separate narrative for the Housing Counseling Program and a separate narrative for each FHIP Component (if applying for more than one) in response to this rating factor. **Your narrative response should not exceed 10 pages. Please refer to the general instructions at the beginning of this application for additional information on applying for both programs.**

This factor addresses the extent to which you have the organizational resources necessary to successfully implement your proposed activities in a timely manner, and your ability to collect or make available prototypes of successful fair housing education and enforcement business practices and techniques, as appropriate, on a national scale. The rating of your organization and staff for technical merit or threshold compliance, unless otherwise specified, will include any consultants, subrecipients, and partners that are firmly committed to the project.

(1) General Description of Applicant Organization and Relevant Experience (5 points).

(a) Describe your organization's qualifications, including type of organization (e.g. public, private, non-profit, for profit) and the organization's general areas of activity or line of business.

(b) Describe any large, complex, interdisciplinary projects, that you have managed.

(c) Provide documented evidence of awards and major accomplishments of your organizations, such as performance reviews, newspaper articles, or monitoring findings, that may reflect positively or negatively upon your ability and your proposed staff to perform the work.

(d) Describe your capability in handling financial resources with adequate financial control procedures and accounting procedures. Considerations will include findings identified in your most recent audits, internal consistency in the application of numeric quantities, accuracy of mathematical calculations and other available information on financial management capability. Provide a certification from an Independent Public Accountant or the appropriate government auditor, stating the financial management system employed by the applicant meets the prescribed standards of fund control and accountability required by 24 CFR 84.21 for non-profits or 24 CFR 85.20 for State and local governments. If any audit in the last three years showed any problems or major financial audit findings, list the problems and describe how the findings were resolved.

(2) Specific Description of Staff for Proposed Activities (10 points).

Describe the knowledge, recent and relevant experience of your proposed project director and staff (including the day-to-day program manager, consultants and subrecipients) in planning and managing programs for which funding is being requested. Describe your readiness and ability to immediately begin, on the date specified in your Statement of Work. For any personnel, including subrecipients, not yet hired or selected, describe the qualifications (in terms of required knowledge and experience) to be considered in the selection and how quickly the selection process will be completed.

For each identified employee and consultant/ subrecipient to be allocated to the project, identify the titles, and describe the proposed number of staff hours and the roles to be performed.

(3) Specific Description of Experience Relevant to the Proposed Activities (5 points).

Describe your experience to effectively collect and analyze prototypes of successful fair housing education and enforcement business practices and techniques and make them available to others, such as State and local governments. You must specifically describe your experience and understanding in formulating or carrying out programs to prevent or eliminate discriminatory housing practices (include any consultants, subrecipients, and partners that are identified as participants in your project). Describe your past experience with developing and implementing innovative strategies and the results of those efforts. If you have or are currently receiving funding under FHIP, you should list and provide the status of your previous referrals of enforcement proposals to HUD, especially those made during FY 1998 and a list of cases referred to HUD for joint enforcement. In addition, the Department encourages you to address at least one of the following statutory objectives:

(a) cooperation with real estate industry organizations and/or
(b) dissemination of educational information and technical assistance to support compliance with the housing adaptability and accessibility guidelines contained in the Fair Housing Amendments Act of 1988.

Rating Factor 2: Need/Distress/Extent of the Problem (25 points)

The corresponding rating factor can be found in the FHIP section of the SuperNOFA in Part IV of this application kit.

This factor addresses the extent to which you document and address the national need for educating immigrant and other underserved populations about their fair housing rights and ensure that enforcement mechanisms address the specific types of discrimination they encounter. You should state which activities and methods you intend to address, and how your proposal offers the most effective approach for dealing with that national need.

(1) Documentation of Need (15 points).

Describe and document the national need that you intends to address. The description will be assessed on how well it demonstrates a grasp of the elements of the problem and its persuasiveness at the national level. Your description of the national need will be used to evaluate the depth of your understanding of the problem.
Include applicable statistics and analyses contained in a data source(s) that is sound and reliable. Charts, tables, Community 2020 software mapping and other graphic presentations of data may be used to supplement the narrative.

(2) Rationale for Proposed Activities and Methods (10 points).
Provide a rationale for how your proposed activities and methods most effectively deal with the national need described in your response to sub-factor (1), immediately above.

Rating Factor 3: Soundness of Approach. (35 points)

The corresponding rating factor can be found in the FHIP section of the SuperNOFA in Part IV of this application kit.

This factor addresses the quality and cost-effectiveness of your proposed Statement of Work. There must be a clear relationship between your project activities and the purpose of the program funding for you to receive points for this factor.

(1) Description of Proposed Activities (15 points).

Describe how you will conduct your proposed activities in a manner (e.g. languages, formats, locations, distributions, use of minority media) that will reach and benefit all members of the public, especially underserved populations.

Describe how your proposed activities will yield long-term results and innovative strategies or "best practices" that can be readily disseminated to other organizations and State and local agencies.

(2) Statement of Work (10 points).

(a) Prepare your Statement of Work--using the format provided, which lists the major objectives, activities and attach a chart that describes the specific tasks and sub-tasks to be performed, the sequence in which the tasks are to be performed, noting areas of work that must be performed simultaneously, and the timeframes for completion/submission of deliverables. Include specific numbers of quantifiable end products and program improvements you intend to deliver by the end of the award agreement. The SOW should show a proposed start date no later than September 30, 1999. A blank Statement of Work plan is attached. **Be sure to include those specific administrative and project tasks in the blank SOW format. If additional space is needed to respond to any item, the blank pages may be photocopied and used to provide the additional information.**

(b) The SOW must provide national coverage, identify protected class focus, as well as focus on new immigrants and underserved populations, or underserved areas, as applicable; and show the geographic areas to be served.

(c) Describe the immediate benefit of your proposal and how you will measured the benefits. You must describe the methods you will use to determine the effectiveness of your proposed activities and benefits achieved. All specific activities necessary to complete your proposed project must be included in your task listing. In judging your management approach, HUD will consider identification of specific tasks.

Include quantitative data for activities to be done more than once, e.g. seminars, training sessions. Quantities should indicate a minimum number which you propose to perform and match the costs proposed in the budget. Do not use indefinite quantities such as "up to 10". Proposed Deliverables should be adequate for HUD to assess both the quality and quantity of the work performed under each task.

The "Delivery by" column in the SOW shows the date by which you intend to submit completed work for each task. In judging your management approach, HUD will consider the reasonableness of dates of implementation.

(3) Budget and Financial Controls (10 points). You must prepare a budget that demonstrates:

(a) Cost estimates of salary levels, staff assignments, number of staff hours, and all other budget items are reasonable, allowable, and appropriate for the proposed activities;

(b) The proposed program is cost effective in achieving its anticipated results, as well as in achieving significant impact.

Prepare the budget form following this factor (Budget Narrative Work Plan). This budget form and the Budget Information - Non-Construction Programs SF-424A, included in Part II of this kit, must show the total cost of the project and indicate other sources of funds that will be used for the project. While the costs are based only on estimates, the budget narrative work plan must include information on individual elements of the cost estimates. The estimated cost elements may be based upon information such as quotes obtained from various vendors or you may rely on historical data. Budget requests must be supported by back-up documentation which must be ready for submission if requested subsequent to notification of award.

Generally, estimated costs for high-cost items, consultants and subrecipients should be supported by bids from at least 3 sources. Where there are travel costs for consultants and subrecipients, the applicant should show that it unsuccessfully searched for local consultants and subrecipients or that the travel costs for out-of-town contractors combined with rates and fees charged do not exceed amounts for rates and fees charged by local consultants and subrecipients.

You should ensure that the amounts reflected for each budget line item category for both Federal and in-kind costs are transferred to the appropriate areas of the SF-424-A **(NOTE: For applicants submitting a multi-year project proposal, a single budget must be prepared which includes the total costs for the budget over the proposed project period; however, the applicant should retain individual yearly budgets for future reference purposes.)**

Assessment of the Budget will include the following:

(i) The quality, thoroughness and reasonableness of the cost estimates provided;
The extent to which the program is cost effective in achieving the anticipated results of the proposed activities as well as in achieving significant national impact.

EXPLANATORY DOCUMENTS PROVIDED

· Blank Budget Narrative Work Plan Format

Samples of these forms which you may use as guidance can be located in the Other than National Program Factor #3 of the FHIP Section of this kit.

BUDGET NARRATIVE WORKPLAN FORMAT

Name of Organization: _______________
Budget Period: _____ months

Position or Individual	Estimated Hours	Rate Per Hour	Estimated Cost	Federal Cost	In-Kind Cost
		$	$	$	$
		$	$	$	$
		$	$	$	$
		$	$	$	$
TOTAL DIRECT LABOR			$	$	$
Fringe Benefits	**Rate**	**Base**	**Estimated Cost**	**Federal Cost**	**In-Kind Cost**
F.I.C.A.		$	$	$	$
Unemployment Insurance[1]		$	$	$	$
Health Insurance[2]		$	$	$	$
Workers Compensation[1]		$	$	$	$
TOTAL FRINGE BENEFITS			$	$	$
Materials	**Quantity**	**Unit Cost**	**Estimated Cost**	**Federal Cost**	**In-Kind Cost**
		$	$	$	$
		$	$	$	$
		$	$	$	$
		$	$	$	$
TOTAL MATERIALS			$	$ *	$
Local Travel	**Mileage/Fare**	**Rate/Mile**	**Estimate Cost**	**Federal Cost**	**In-Kind Cost**
		$	$	$	$
		$	$	$	$
SUBTOTAL LOCAL TRAVEL			$	$	$

* Materials/Equipment prices must be supported by vouchers/cash register receipts of same or similar item or lease quotes from vendor at time of budget negotiation

[1] Rates may vary by State.
[2] Rates may vary by organization.

Air Travel Destination	**Number of Travelers**	**Roundtrip Fare**	**Estimated Cost**	**Federal Cost**	**In-Kind Cost**
	$	$	$	$	$
Subtotal Air Travel			$	$	$
Other Travel Items	**Quantity**	**Unit Cost**	**Estimated Cost**	**Federal Cost**	**In-Kind Cost**
		$	$	$	$
		$	$	$	$
Subtotal Other Travel			$	$	$
Per Diem Subsistence	**Number of Travelers**	**Number of Days/Rate Per Day**	**Estimated Cost**	**Federal Cost**	**In-Kind Cost**
			$	$	$
Per Diem Subsistence			$	$	$
TOTAL TRAVEL			$	$ *	$
Equipment	**Quantity**	**Unit Cost**	**Estimate Cost**	**Federal Cost**	**In-Kind Cost**
		$	$	$	$
		$	$	$	$
		$	$	$	$
TOTAL EQUIPMENT COSTS			$	$ **	$
Consultants	**Days**	**Rate Per Day**	**Estimated Cost**	**Federal Cost**	**In-Kind Cost**
		$	$	$	$
		$	$	$	$
		$	$	$	$
		$	$	$	$
		$	$	$	$
TOTAL CONSULTANTS			$	$ ***	$

* All travel must be grant related and rates not exceed the Federal rate

** Lease/purchase of equipment must be supported by three quotes at time of budget negotiation

***Daily rate cannot exceed $375 per day unless waiver is obtained from Grant Officer

Subcontracts	Rate/Service	Quantity	Estimated Cost	Federal Cost	In-Kind Cost
			$	$	$
TOTAL SUBCONTRACTS			$	$ *	$
Other Direct	**Quantity**	**Unit Cost**	**Estimated Cost**	**Federal Cost**	**In-Kind Cost**
		$	$	$	$
		$	$	$	$
		$	$	$	$
		$	$	$	$
TOTAL OTHER DIRECT			$	$	$
Indirect	**Rate**	**Base**	**Estimated Cost**	**Federal Cost**	**In-Kind Cost**
	**		$	$	$
TOTAL INDIRECT			$	$	$
			Total Estimated Cost	**Total Federal Cost**	**Total In-Kind Cost**
TOTAL COSTS			$	$	$
Amount To Enter on Form 424 Funding Matrix			$	$	$

*When individual subcontract fees exceed 10% of your grant amount, an itemized budget is required. Your FHOI-CDC application must include detailed budgets for subcontractual arrangements you will have with new organization(s) which you propose to sponsor.

** If you have a Federally negotiated indirect rate, you should use that rate and the appropriate base in this section. In all other instances, you should include your current overhead rate, if any, which has been tailored to your organization's operating budget. The rate and base used here is illustrative only and you must use your organization's rate.

Rating Factor 4: Leveraging Resources. (10 points)

The corresponding rating factor can be found in the FHIP section of the SuperNOFA in Part IV of this application kit.

This factor addresses your ability to secure community resources (Note: financing is a community resource) which can be combined with HUD's program resources to achieve program purposes. In other words, to what extent can you get others to work with you.

(1) Extent to Which Applicant has Secured Other Resources (5 points).

List estimated monetary contributions, in-kind or donated resources, such as services or equipment, from public or private sources that will be used to carry out your proposed project activities and show how the resources are necessary for the purpose(s) of the award. HUD will consider whether the resources are clearly related to and necessary for the proposed activities.

List and describe partnerships with other entities to coordinate the use of resources in your target area or subject. Describe how this will secure additional resources, including financial resources, to increase the effectiveness of the proposed activities.

Describe how you plan to use your affiliated branches, or partner with other organizations, to distribute materials, training or services developed under this SuperNOFA for use at the local level.

(2) Evidence of Firm Commitment of Leveraging (5 points).

Identify which resources are firmly committed. Provide evidence of leveraging/partnerships such as letters of firm commitment, memoranda of understanding, or agreements to participate from those entities identified as partners in your application. Each letter of commitment, memorandum of understanding, or agreement to participate should include the organization's name, proposed level of commitment and responsibilities as they relate to the proposed program. The commitment must also be signed by an official of the organization legally able to make commitments on behalf of the organization. Include copies of pledges or letters of legally binding commitments you have obtained.

Resources that are firmly committed MUST be reflected in the in-kind portion of the budget.

Rating Factor 5: Comprehensiveness and Coordination (10 points)

The corresponding rating factor can be found in the FHIP section of the SuperNOFA in Part IV of this application kit.

NOTE: A separate narrative response must be submitted for the EOI National Program - Best Practices Component.

This factor addresses the extent to which you coordinate your activities with other organizations in your project area, and are creating linkages with other activities in your project area. In other words, to what extent are you working with others to address needs in your project area.

(1) Discuss your methods or approaches to ensure that activities and materials are made available to affiliated branches and local groups and organizations and a description of how such activities can enhance or work in tandem with local activities and materials. At a minimum, your application should discuss procedures to be used to promote awareness of the services provided by your proposed project.

Describe the specific steps your organization took to identify and coordinate its proposed activities with those of other groups or organizations prior to submission. Include in your description how your proposed activities will complement and support all known activities and if funded, the specific steps your organization will take to share information on solutions and outcomes with others. Any written agreements, memoranda of understanding in place, or that will be in place after award should be described.

Describe your organization's linkages, including affiliated branches, or the specific steps your organization will take to develop linkages with other organizations through meetings, coalitions, information networks, planning processes or other mechanisms to make communities and organizations aware of opportunities for linking activities to support and sustain a comprehensive system to address the purposes of these programs. Such linkages could be with:

(a) Other HUD-funded program activities, proposed or on-going; or

Other proposed or on-going Federal, State, local or privately funded activities which, taken as a whole, supporting and sustaining a comprehensive system to address the purpose of these programs.

ADDITIONAL REQUIREMENTS

Please attach the applicable written certifications/documentation requested for the Initiative/Component under which your application is submitted. None of these certifications or documentation count in calculation of the 10-page limitation on your submission for each factor for award.

Additional Requirements For Private Enforcement Initiative:

(1) All proposals must include a description of the enforcement proposals to be referred to HUD to assist in increasing enforcement actions. Therefore, when responding to the two components of the PEI, you must state what information you intend to collect and analyze, the kind and number of complaints you anticipate referring to HUD for enforcement purposes, and propose a method for referral of such complaints. Your application should explain how the organization plans to structure tests, train investigators, conduct investigations, etc. This description should make clear the safeguards to be used to ensure that complaints referred to HUD for enforcement action are fully jurisdictional under the Act and supported by credible and legitimate evidence that the Act has been violated.

(2) Neither you nor any subrecipient are permitted to charge or claim credit for any activities performed under the FHIP Program toward any other Federal project/funds. For example, under the PEI-JEP, FHAP agencies will not be able to count any cases/referrals arising under an approved project toward their FHAP case processing calculations.

(3) PEI-General Multi-Year Component. Applications for this component may be made for single (award cap of $300,000) or partnership projects (award cap of $600,000). As noted in Section II (A)(1), Amount Allocated. Partnership projects must meet the following requirements:

(a) an award will be made to a single organization and that organization will have the responsibility for administering the grant and overseeing project activities,

(b) the organization to whom the award is made must be the applicant,

(c) all members of the partnership must be identified in your proposal with the duties and responsibilities for each partner described fully,

(d) it is anticipated that members of the partnership will participate as subrecipients on the project, but unlike others, these members must meet the eligibility requirements of this initiative and a separate eligibility statement must be submitted for each partner (see Section III(A)(1)(b), Eligible Applicants for PEI), and

(e) to ensure your proposal is properly evaluated, your application must make clear you have elected this option.

Additional Requirements for Education and Outreach Initiative Regional/Local/Community-Based Programs and National Program:

(1) All projects must address housing discrimination based on race, color, religion, sex, disability, familial status, or national origin.
(2) All proposals must contain a description of how the activities or the final products of the projects can be used by other agencies and organizations and what modifications, if any, would be necessary for that purpose.
(3) All proposals must describe the referral process and list in the Statement of Work the projected referrals to be submitted to HUD.

Additional Requirements For Fair Housing Organizations Initiative:
Establishing New Organizations Component ENOC.

You must propose the establishment of a new fair housing organization in an underserved area. You must provide a justification for why the target project area is underserved. The justification must include data and studies that indicate the presence of housing discrimination, segregation and/or other indices of discrimination in the locality based upon race, color, religion, sex, national origin, familial status, or disability.

Cover Page FY 1999 FHIP Application

Check Initiative/Component (only one box) for which the application is being submitted.

Submit a separate application for each Initiative/Component for which funding is sought.

Applicant Name ____

Initiative/Component	Catalog of Federal Domestic Assistance No.
☐ Private Enforcement Initiative/General Component (Multi-Year)	14-410
☐ Private Enforcement Initiative/Joint Enforcement Projects Component	14-410
☐ Education and Outreach Initiative/Regional-Local-Community Based Program	
☐ General Component	14-409
☐ Homeownership Component	14-409
☐ Disability Component	14-409
☐ Education and Outreach Initiative National Program	
☐ Best Practices Component	14-409
☐ Fair Housing Organizations Initiative/Continued Development Component	14-413
☐ Fair Housing Organizations Initiative/Establishment of New Organizations	14-413

If you submit more than one application, you must indicate in the table below all Initiatives/ Components for which you are applying. In addition, if you apply for funding under more than one component, you must state your priority for selection and submit your preference in the table below. If you fail to submit your preference, your application will be ineligible.

Applicant's Preference for Award

Initiative/Component	Applied (Yes or No)	Rank-Order Preference
Private Enforcement Initiative - General Component (Multi-year)		
Private Enforcement Initiative - Joint Enforcement Project		
EOI-Regional, Local, Community-based-Homeownership		
EOI-Regional, Local, Community-based-Disability		
EOI-Regional, Local, Community-based-General Component		
EOI-National Program-Best Practices Component		
FHOI-Establishment of New Organizations		
FHOI-Continued Development Component		

SUBSTANTIALLY EQUIVALENT

STATE AND LOCAL FAIR HOUSING ENFORCEMENT AGENCIES

STATE AND LOCAL AGENCIES
FAIR HOUSING ASSISTANCE PROGRAM PARTICIPANTS

February 1999

BOSTON (NEW ENGLAND)

Mr. Louis Martin
Director
Connecticut Commission on Human Rights and Compliance
21 Grand Street
Hartford, CT 06106
PHONE: (860) 541-3400
FAX: (860) 246-5419

Mr. Charles Walker
Chairman
Massachusetts Commission Against Discrimination
Room 601
1 Ashburton Place, 6th Floor
Boston, MA 02108
PHONE: (617)727-3990
FAX: (617)720-6053

Ms. Margot Kosberg
Acting Executive Director
Cambridge Human Rights Commission
51 Inman Street, 2nd Floor
Cambridge, MA 02139
PHONE: (617) 349-4396
FAX: (617) 349-4669

Mr. Gene L. Booth
Executive Director
Rhode Island Commission for Human Rights
10 Abbott Park Place
Providence, RI 02903-3768
PHONE: (401)222-2661
FAX: (401)222-2616

Mr. Harvey Golubock
Executive Director
Vermont Human Rights Commission
135 State Street, Drawer 33
Montpelier, Vermont 05633-6301
PHONE: (802) 828-2480
FAX: (802) 828-2481 (call first)

NEW YORK CITY (NEW YORK/NEW JERSEY)

Ms. Cassandra Griffen McIntyre
Commissioner
County of Rockland Commission on Human Rights
18 New Hempstead Road
New City, New York 10956
PHONE: (914) 638-5590
FAX: (914) 638-5254

PHILADELPHIA (MID-ATLANTIC)

Ms. Juana Fuentes
Director
Delaware Human Relations Division
820 North French Street, 4th Floor
Wilmington, DE 19801
PHONE: (302) 577-3716
FAX: (302) 577-3486

Mr. Henry B. Ford
Executive Director
Maryland Commission on Human Relations
6 St. Paul Street, 9th Floor
Baltimore, MD 21202
PHONE: (410) 767-8600
FAX: (410) 333-1841

Mr. Homer C. Floyd
Executive Director
Pennsylvania Human Relations Commission
101 South 2nd Street, Suite 300
Harrisburg, PA 17101
PHONE: (717) 787-4412
FAX: (717) 787-0420

Mr. Charles F. Morrison
Director - Pittsburgh Human Relations Comm.
908 City - County Building
Pittsburgh, PA 15219
PHONE: (412) 255-2600
FAX: (412) 255-2288

Ms. Hazel Black
Commissioner
Reading Human Relations Commission
723 North 12th Street
Reading, PA 19601
PHONE: (610) 921-8881 (voice and fax)

MID-ATLANTIC

Mr. John P. Cancellori
Fair Housing Administrator
Commonwealth of Virginia Department of Professional and Occupational Regulation
3600 West Broad Street, 5th Floor
Richmond, VA 23230-4917
PHONE: (804) 367-8500
FAX: (804) 367-2179

Mr. Herman H. Jones
Executive Director
West Virginia Human Rights Commission
1321 Plaza East, Room 108A
Charleston, West Virginia, 25301
PHONE: (304) 558-2616
FAX: (304) 558-0085

Mr. Marshall Moss
Executive Director
Charleston Human Rights Commission
915 Quarrier Street, Suite 6
Charleston, WV 25301-1400
PHONE: (304) 348-6880
FAX: (304) 348-6435

Ms. Sally M. Lind
Executive Director
Huntington Human Relations Comm.
824 5th Avenue, Suite 200
Huntington, WV 25701
PHONE: (304) 696-5592
FAX: (304) 696-5573

ATLANTA (SOUTHEAST/CARIBBEAN)

Mr. Ronald McElrath
Executive Director
Florida Human Relations Division
Suite 240
325 John Knox Road, Building F
Tallahassee, FL 32303
PHONE: (904) 488-7082
FAX: (904) 488-5291

Ms. Charlene Taylor Hill
Executive Director
Jacksonville Equal Opportunity Commission
421 West Church Street, Suite 705
Jacksonville, FL 32202
PHONE: (904) 630-4911
FAX: (904) 630-4948

Mr. Harry Lamb, Jr.
Interim Director
Palm Beach County Office of Equal Opportunity
215 North Olive Avenue, Suite 130
West Palm Beach, FL 33401
PHONE: (561) 355-4883
FAX: (561) 355-4932

Mr. Clarence Scott III
Community Affairs Director
St. Petersburg Human Relations Department
175 5th Street North, Room 107
St. Petersburg, FL 33701
PHONE: (727) 893-7345
FAX: (727) 892-5064

Ms. Beverly Watts
Executive Director
Kentucky Commission on Human Rights
332 West Broadway, 7th Floor
Louisville, KY 40202-0069
PHONE: (502) 595-4024
FAX: (502) 595-4801

Mr. William D. Wharton
Executive Director
Lexington-Fayette Urban County Human Rights Commission
162 East Main Street, Suite 226
Lexington, KY 40507
PHONE: (606) 252-4931
FAX: (606) 252-7057

Ms. Eleanor Breland
Director
Clearwater Human Relations Dept.
112 South Osceola Avenue, 1st Floor
Clearwater, FL 34616
PHONE: (813) 562-4060
FAX: (813) 562-4059

Mr. Albert Nelson
Executive Director
Orlando Human Relations Dept.
400 South Orange Avenue
Orlando, FL 32801
PHONE: (407) 246-2122
FAX: (407)246-2308

Mr. Leon W. Russell
Human Rights Equal Opportunity Officer
Pinellas County Office of Human Rights
315 Court Street
Clearwater, FL 34616
PHONE: (813) 464-4880
FAX: (813) 464-4157

Mr. Charles F. Hearns
Administrator
Tampa Office of Community Relations Services
712 West Ross Street
Tampa, FL 33602
PHONE: (813) 274-8241
FAX: (813) 274-7207

Ms. Phyllis Atiba-Brown
Acting Director
Louisville and Jefferson County Human Relations Commission
410 West Chestnut Center, Suite 300a
Louisville, KY 40202
PHONE: (502) 574-3631
FAX: (502) 574-3190

Mr. Mustafa Aziz
Administrator
Commission on Equal Opportunity
710 Cain Tower, Peachtree Center
229 Peachtree Street, NE
Atlanta, GA 30303-1650
PHONE: (404) 656-1736
FAX: (404) 656-4399

ATLANTA (SOUTHEAST/CARIBBEAN)

Mr. Eddie Lawrence
Executive Director
North Carolina Human Relations Commission
217 West Jones Street
Raleigh, NC 27603
PHONE: (919) 733-7996
FAX: (919) 733-7940

Mr. Willie Ratchford
Director
Charlotte-Mecklenburg Community Relations Committee
600 East Trade Street
Charlotte, NC 28202
PHONE: (704) 336-3380
FAX: (704) 336-5176

Mr. Marvin Vierra
Community Development Director
City of Asheville
70 Court Plaza
Asheville, NC 28802
PHONE: (704) 259-5721
FAX: (704) 259-5606

Mr. Robert Smith
Executive Director
Asheville-Buncombe County Community Relations Council
50 South French Broad Avenue, Room 214
Asheville, NC 28801
PHONE: (704) 252-4713
FAX: (704) 252-449

Mr. Chester L. Jenkins
Director
Durham Human Relations Commission
101 City Hall Plaza
Durham, NC 27701
PHONE: (919) 560-4107
FAX: (919) 560-4092

Mr. John E. Shaw
Director
Greensboro Human Relations Dept.
300 West Washington Street
Greensboro, NC 27401
PHONE: (336) 373-2038
FAX: (336) 373-2511

Mr. Anthony Wade
Director
New Hanover Human Relations Commission
402 Chestnut Street
Wilmington, NC 28401
PHONE: (910) 341-7171
FAX: (910) 341-3587

Ms. Lucy Lewis
Director
Orange County Human Relations Comm.
P.O. Box 8181
110 South Churton Street
Hillsborough, NC 27278
PHONE: (919) 967-9251/732-8181 x 2250
FAX: (919) 644-3048

Mr. Eugene Williams
Director
Winston-Salem Human Relations Commission
2301 North Patterson Avenue
Winston-Salem, NC 27105
PHONE: (910) 727-2429
FAX: (910) 748-3002

Ms. Susan L. Brown
Director
City of Knoxville Department of Community Development
400 Main Street, Suite 503
City County Building
Knoxville, TN 37902
PHONE: (423) 215-2120
FAX: (423) 215-2962

ATLANTA (SOUTHEAST/CARIBBEAN)

Mr. Julius Sloss
Executive Director
Tennessee Human Rights Commission
Capitol Boulevard Building
530 Church Street, Suite 400
Nashville, TN 37243
PHONE: (615) 741-5825
FAX: (615) 532-2197

Dr. Willis Ham
Commissioner
South Carolina Human Affairs
Commission
2611 Forest Drive
Columbia, SC 29240
PHONE: (803) 737-7800
FAX: (803) 253-4191

CHICAGO (MIDWEST)

Mr. Michael Pittman
Manager
Springfield Human Relations
Commission and Fair Housing
227 South Seventh Street, Suite 204
Springfield, IL 62701
PHONE: (217) 789-2271
FAX: (217) 789-2268

Ms. Sandra Leek
Executive Director
Indiana Civil Rights Commission
Indiana Government Center North
100 North Senate Avenue, Rm. N-103
Indianapolis, IN 46204-2773
PHONE: (317) 232-2600
FAX: (317) 232-6580

Mr. Charles Redd
Interim Director
Fort Wayne Metropolitan Human
Relations Commission
One Main Street
City-County Building, Room 680
Fort Wayne, IN 46802
PHONE: (219) 427-1146
FAX: (219) 427-1126

Mr. William D. Mason
Director, Law Department
City of Parma
6611 Ridge Road
Parma, OH 44129-5593
PHONE: (216) 885-8132
FAX: (216) 885-8008

Ms. Doris Carbins
Executive Director
Gary Human Relations Commission
475 Broadway, Suite 401
Gary, IN 46402
PHONE: (219) 883-4151
FAX: (219) 882-0373

Mr. Vaughn Marino
Director
Elkart Human Relations Commission
Municipal Building
229 South Second Street
Elkhart, IN 46516
PHONE: (219) 294-5471
FAX: (219) 293-7964

Ms. Lynn Bloom
Executive Director
Hammond Human Relations Commission
5925 Calumet Avenue, Room 320
Hammond, IN 46320
PHONE: (219) 853-6502
FAX: (219) 853-6538

Mr. Lonnie Douglas
Executive Director
South Bend Human Relations Commission
1440 County-City Building
South Bend, IN 46601
PHONE: (219) 235-9355
FAX: (219) 235-9357

CHICAGO (MIDWEST)

Ms. Nanette Lee Reynolds
Director
Michigan Department of Civil Rights
Victor Office Center
201 North Washington, Suite 700
Lansing, MI 48913
PHONE: (517) 335-3165
FAX: (517) 241-0546

Mr. Jerald L. Steed
Executive Director
Dayton Human Relations Council
130 West 2nd Street, Suite 730
Dayton, Ohio 45402
PHONE: (513) 228-5854
FAX: (513) 222-4589

Mr. Francis Smith
Executive Director
Ohio Civil Rights Commission
220 Parsons Avenue
Columbus, Ohio 43215-5385
PHONE: (614) 466-2785
FAX: (614) 644-8776

Ms. Lisa Wilmot
Administrator
Fair Housing Review Board
3400 Lee Road
Shaker Heights, OH 44120
PHONE: (216) 491-1440
FAX: (216) 491-1447

FORT WORTH (SOUTHWEST)

Mr. John B. Shepard, Jr.
Director
Louisiana Public Protection Division
One American Place
301 Main Street, 6th Floor
Baton Rouge, Louisiana 70801
PHONE: (504) 342-7900
FAX: (504) 342-7901

Mr. William M. Hale
Executive Director
Texas Commission on Human Rights
6330 Highway 290 East, Suite 250
Austin, TX 78723
PHONE: (512) 437-3450
FAX: (512) 437-3478

Ms. Rosie L. Norris
Fair Housing Administrator
City of Dallas
Office of Housing Compliance
1500 Marilla Street, Room 4D North
Dallas, TX 75201
PHONE: (214) 670-5334
FAX: (214) 670-6916

Mr. Jim Slaughter
Managing Director
Housing and Neighborhood Services Office
210 Carver Street, Suite 202
Garland, TX 75040
PHONE: 972-205-3313
FAX: 972-205-3329

Ms. Gracie Monson
Director
Oklahoma Human Rights Commission
2101 North Lincoln, Room 480
Oklahoma City, OK 73105
PHONE: (405) 521-3441
FAX: (405) 524-6942

Mr. Marco Salinas
Director
Austin Human Rights Commission
206 East 9th Street, 14th Floor
Austin, TX 78701
PHONE: (512) 499-3251
FAX: (512) 499-3214

Mr. Michael D. Ivey
Executive Director
Fort Worth Human Relations
Commission
1000 Throckmorton Street
Fort Worth, TX 76102
PHONE: (617) 871-7525
FAX: (817) 871-8148

KANSAS CITY (GREAT PLAINS)

Mr. Don Grove
Executive Director
Iowa Civil Rights Commission
c/o Grimes State Office Building
211 East Maple Street, 2nd Floor
Des Moines, IA 50309
PHONE: (515) 281-4121
FAX: (515) 242-5840

Ms. Louise W. Lorenz
Director
Cedar Rapids Civil Rights Commission
City Hall, Second Floor
Cedar Rapids, Iowa 52401-1256
PHONE: (319) 398-5036
FAX: (319) 398-0471

Ms. Kelly Larson
Executive Director
Dubuque Human Rights Department
City Hall Annex, Main Street
Dubuque, IA 52001-4932
PHONE: (319) 589-4190
FAX: (319) 589-4299

Mr. Floyd A. Jones
Executive Director
Des Moines Human Rights Commission
East first and Des Moines Street
Des Moines, IA 50309
PHONE: (515) 283-4284
FAX: (515) 283-4270

Mr. Lionel J. Foster
Director
Mason City Human Rights Commission
10 First Street N.W.
Mason City, IA 50401
PHONE: (515) 421-3618
FAX: (515) 421-2714/421-3619

Mr. Rehelio A. Samuel
Executive Director
Lawrence Human Relations Commission
6 East 6th Street, Room 315
Lawrence, KS 66044
PHONE: (913) 832-3310
FAX: (913) 832-3405

Ms. Joyce Keys
Director
Olathe Human Relations Commission
Housing and Human Services
City of Olathe
300 North Chestnut
Olathe, KS 66061
PHONE: (913) 782-2600 x6491
FAX: (913) 782-5618

Ms. Kaye J. Crawford
Acting Executive Director
Salina Human Relations Department
300 West Ash
Salina, KS 67401
PHONE: (913) 826-7330
FAX: (913) 826-7244

Mr. Steve Skolnick
Acting Executive Director
Missouri Commission on Human Rights
Dept. of Labor and Industrial Relations
3315 West Truman Boulevard, Suite 212
Jefferson City, MO 65109
PHONE: (314) 751-3325
FAX: (314) 751-2905

Mr. Michael Bates
Director
Kansas City, Missouri Human Relations
City Hall, 4th Floor
414 East 12th Street
Kansas City, MO 64106
PHONE: (816) 274-1432
FAX: (816) 274-1025

Mr. Alfonzo Whitaker
Executive Director
Nebraska Equal Opportunity Commission, 5th Floor
301 Centennial Mall, South
Lincoln, NE 68509
PHONE: (402) 471-2024
FAX: (402) 471-2597

Mr. George Davis
Acting Director
Omaha Human Relations Department
Omaha/Douglas Civic Center
1819 Farnam Street
Omaha, NE 68183
PHONE: (402) 444-5055
FAX: (402) 444-5125

DENVER (ROCKY MOUNTAINS)

Mr. Jack Lang y Marquez
Director
Colorado Civil Rights Division
1560 Broadway, Suite 1050
Denver, CO 80202
PHONE: (303) 894-2997
FAX: (303) 894-7830

Mr. Joseph Gallegos, Jr.
Director
Utah Anti-Discriminatory Division
160 East 300 South
Salt Lake City, Utah 84114
PHONE: (801) 530-6435
FAX: (801) 530-7609

SAN FRANCISCO (PACIFIC/HAWAII AREA)

Mr. David Bartlett
Director
Office of Arizona State Attorney General
Civil Rights Division
1275 West Washington
Phoenix, AZ 85007
PHONE: (602) 542-1401
FAX: (602) 542-4084

Mr. Lionel Lyons
Equal Opportunity Director
Equal Opportunity Department
251 West Washington St., 7th Floor
Phoenix, AZ 85003
PHONE: (602) 262-7716
FAX: (602) 534-1124

Ms. Nancy Gutierrez
Director
California Department of Fair Employment and Housing
2014 T. Street, Suite 210
Sacramento, CA 95814
PHONE: (916) 227-2878
FAX: (916) 227-2870

Mr. David Hoshijo
Executive Director
Hawaii Civil Rights Commission
830 Punch Bowl Street, Room 411
Honolulu, HI 96813
PHONE: (808) 586-8636
FAX: (808) 586-8655

SEATTLE (NORTHWEST/ALASKA)

Ms. Susan J. Jordan
Executive Director
Washington State Human Rights Commission
711 South Capitol Way, #402
Olympia, WA 98504
PHONE: (206) 753-2558
FAX: (206) 586-2282

Ms. Bailey Delongh
Manager
King County, Office of Civil Rights and Compliance
516 Third Avenue, E 224 King County Courthouse
Seattle, WA 98104
PHONE: (206) 296-7592
FAX: (206) 296-4329

SEATTLE (NORTHWEST/ALASKA)

Mr. Allen Correll
Director
Tacoma Human Rights Department
747 Market Street, Room 808
Tacoma, WA 98402
PHONE: (206) 591-5151
FAX: (206) 591-5121

Ms. Germaine Covington
Executive Director
Seattle Human Rights Department
Artic Building, 2nd Floor
700 3rd Avenue, Suite 250
Seattle, WA 98104
PHONE: (206) 684-4500
FAX: (206) 684-0332

Forms

Application for Federal Assistance

OMB Approval No. 0348-0043

	2. Date Submitted	Applicant Identifier
1. **Type of Submission**	3. Date Received by State	State Application Identifier
Application ☐ Construction ☐ Non-Construction; **Preapplication** ☐ Construction ☐ Non-Construction	4. Date Received by Federal Agency	Federal Identifier

5. **Applicant Information**

Legal Name	Organizational Unit
Address (give city, county, State, and zip code)	Name, telephone number, and facsimile number of the person to be contacted on matters involving this application (give area codes)

6. **Employer Identification Number (EIN)**

☐

7. **Type of Applicant** (enter appropriate letter in box) ☐

A. State
B. County
C. Municipal
D. Township
E. Interstate
F. Intermunicipal
G. Special District
H. Independent School Dist.
I. State Controlled Institution of Higher Learning
J. Private University
K. Indian Tribe
L. Individual
M. Profit Organization
N Non-profit
O Public Housing Agency
P. Other (Specify)

8. **Type of Application**

☐ New ☐ Continuation ☐ Revision

If Revision, enter appropriate letter(s) in box(es) ☐ ☐

A. Increase Award B. Decrease Award C. Increase Duration
D. Decrease Duration Other (specify)

9. **Name of Federal Agency**

10. **Catalog of Federal Domestic Assistance Number** ☐

Title

11. **Descriptive Title of Applicant's Project**

12. **Areas Affected by Project** (cities, counties, States, etc.)

13. **Proposed Project**		14. **Congressional Districts of**	
Start Date	Ending Date	a. Applicant	b. Project

15. **Estimated Funding** Use form HUD-424-M (Matrix)

a. Federal	$	.00
b. Applicant	$	.00
c. State	$	.00
d. Local	$	.00
e. Other	$	.00
f. Program Income	$	.00
g. **Total**	$	.00

16. **Is Application Subject to Review by State Executive Order 12372 Process?**

a. **Yes** This preapplication/application was made available to the State Executive Order 12372 Process for review on

Date:____________________________________

b. **No** ☐ Program is not covered by E.O. 12372

or ☐ Program has not been selected by State for review.

17. **Is the Applicant Delinquent on Any Federal Debt?**

☐ Yes If "Yes," explain below or attach an explanation ☐ No

18. To the best of my knowledge and belief, all data in this application/preapplication are true and correct, the document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is awarded.

a. Typed Name of Authorized Representative	b. Title	c. Telephone Number
d. Signature of Authorized Representative		e. Date Signed

Previous Editions Not Usable
Authorized for Local Reproduction

form **SF-424** (4/92)
Prescribed by OMB Circular A-102

Instructions for the SF-424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Please do not return your completed form to the Office of Management and Budget; send it to the address provided by the sponsoring agency .

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item	Entry
1.	Self-explanatory.
2.	Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).
3.	State use only (if applicable).
4.	If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.
5.	Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.
7.	Enter the appropriate letter in the space provided.
8.	Check appropriate box and enter appropriate letter(s) in the space(s) provided: – "New" means a new assistance award. – "Continuation" means an extension for an additional funding budget period for a project with a projected completion date. – "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.
9.	Name of Federal agency from which assistance is being requested with this application.
10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.
I11.	Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.
12.	List only the largest political entities affected (e.g., State, counties, cities).
13.	Self-explanatory.
14.	List the applicant's Congressional District and any District(s) affected by the program or project.
15.	Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
16.	Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process
I17.	This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
18.	To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

Federal Assistance Funding Matrix

The applicant must provide the funding matrix shown below, listing each program for which Federal funding is being requested.

Program	Applicant Share	Federal Share	State Share	Local	Other	Program Income	Total
Grand Totals							

Authorized Official Signature	Name (printed)

Title	Date

Instructions for the HUD-424-M

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless that collection displays a valid OMB control number.

This form is to be used by applicants requesting funding from the Department of Housing and Urban Development for application submissions for Federal assistance.

Complete the funding matrix as follows:

Program: The HUD funding program you are applying under.

Applicant Share: Enter the amount of funds or cash equivalent of in-kind contributions you are contributing to your project or program of activities.

Federal Share: Enter the amount of HUD funds you are requesting with your application.

State Share: Enter the amount of funds or cash equivalent of in-kind services the State is contributing to your project or program of activities.

Local Share: Enter the amount of funds or cash equivalent of in-kind services your local government is contributing to your project or program of activities.

Other: Enter the amount of other sources of private, non-profit, or other funds or cash equivalent of in-kind services being contributed to your project or program of activities.

Program Income: Enter the amount of program income you expect to generate and contribute to this program over the life of your award.

Total: Please total all columns and fill in the amounts.

Assurances—Non-Construction Programs

OMB Approval No. 0348-0040

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.

2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.

5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.O. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 36701 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a and 276a-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. §§ 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is $10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (e) evaluation of flood hazards in flood plains in accordance with EO 11988; (e) assurance of

project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

13. Will assist the awarding agency in assuring compliance with Section 106 of the national Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984 or OMB Circular No. A-133, Audits of Institutions of Higher Learning and other Non-profit Institutions.

18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

Signature of Authorized Certifying Official	Title
Applicant Organization	Date Submitted

Certification for a Drug-Free Workplace

U.S. Department of Housing and Urban Development

Applicant Name

Program/Activity Receiving Federal Grant Funding

Acting on behalf of the above named Applicant as its Authorized Official, I make the following certifications and agreements to the Department of Housing and Urban Development (HUD) regarding the sites listed below:

I certify that the above named Applicant will or will continue to provide a drug-free workplace by:

a. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the Applicant's workplace and specifying the actions that will be taken against employees for violation of such prohibition.

b. Establishing an on-going drug-free awareness program to inform employees ---

(1) The dangers of drug abuse in the workplace;

(2) The Applicant's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.

c. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph a.;

d. Notifying the employee in the statement required by paragraph a. that, as a condition of employment under the grant, the employee will ---

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

e. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph d.(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federalagency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

f. Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph d.(2), with respect to any employee who is so convicted ---

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

g. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs a. thru f.

2. Sites for Work Performance. The Applicant shall list (on separate pages) the site(s) for the performance of work done in connection with the HUD funding of the program/activity shown above: Place of Performance shall include the street address, city, county, State, and zip code. Identify each sheet with the Applicant name and address and the program/activity receiving grant funding.)

Check here ☐ if there are workplaces on file that are not identified on the attached sheets.

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.

Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official	Title
Signature X	Date

form **HUD-50070** (3/98)
ref. Handbooks 7417.1, 7475.13, 7485.1 & .3

Certification of Payments to Influence Federal Transactions

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing

Applicant Name

Program/Activity Receiving Federal Grant Funding

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, Disclosure Form to Report Lobbying, in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.

Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official	Title

Signature	Date
X	

Disclosure of Lobbying Activities

Approved by OMB 0348-0046

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse side for Instructions.)

Public Reporting Burden for this collection of information is estimated to average 30 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Please do not return your completed form to the Office of Management and Budget; send it to the address provided by the sponsoring agency .

1. Type of Federal Action (enter appropriate letter)
- a. contract
- b. grant
- c. cooperative agreement
- d. loan
- e. loan guarantee
- f. loan insurance

2. Status of Federal Action (enter appropriate letter)
- a. bid/offer/application
- b. initial award
- c. post-award

3. Report Type (enter appropriate letter)
- a. initial filing
- b. material change

For Material Change Only
year __________ quarter __________
date of last report __________________

4. Name and Address of Reporting Entity
☐ Prime ☐ Subawardee Tier , if known

Congressional District, if known

5. If Reporting Entity in No. 4 is Subawardee, enter Name and Address of Prime

Congressional District, if known

6. Federal Department/Agency

7. Federal Program Name/Description

CFDA Number, if applicable

8. Federal Action Number, if known

9. Award Amount, if known
$

10a. Name and Address of Lobbying Registrant
(if individual, last name, first name, MI)

b. Individuals Performing Services (including address if different from No. 10a.)
(last name, first name, MI)

11. Information requested through this form is authorized by Sec.319, Pub. L. 101-121, 103 Stat. 750, as amended by sec. 10; Pub. L. 104-65, Stat. 700 (31 U.S.C. 1352). This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semiannually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

Signature

Print Name

Title

Telephone No.

Date

Federal Use Only

Instructions for Completion of SF-LLL, Disclosure of Lobbying Activities

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or any employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.

2. Identify the status of the covered Federal action.

3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.

4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.

5.If the organization filing the report in item 4 checks “Subawardee”, then enter the full name, address, city, state and zip code of the prime Federal recipient, Include Congressional District, if known.

6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.

7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.

8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application proposal control number assigned by the Federal agency). Include prefixes, e.g., “RFP-DE-90-001.”

9.For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.

10. (a) Enter the full name, address, city, state and zip code of the registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).

11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Additional Instructions for Completing form HUD-2880

All applicants must complete form HUD-2880, Applicant Disclosure/Update report. However, full completion may not be required. Answer the questions below as they pertain to your proposed project, then prepare the form as instructed.

Question 1. Are other Federal funds involved in the proposed project?

If "No," complete **only** Parts I and II and **sign** the form on page 3.

If "Yes," go to question 2.

Question 2. Is the total amount of HUD, State, or local government funds for this specific project/ activity less than $200,000?

If "Yes," complete **only** Parts I and II and **sign** the form on page 3.

If "No," complete the **entire** form and **sign** the form on page 3.

Applicant/Recipient Disclosure/Update Report

U.S. Department of Housing and Urban Development
Office of Ethics

OMB Approval No. 2510-0011
& 2506-0167 (exp. 1/31/99)

Instructions. (See Public Reporting Statement and Privacy Act Statement and detailed instructions on page 4.)

Part I Applicant/Recipient Information **Indicate whether this is an Initial Report** ☐ **or an Update Report** ☐

1. Applicant/Recipient Name, Address, and Phone (include area code)		Social Security Number or Employer ID Number
2. Project Assisted/ to be Assisted (Project/Activity name and/or number and its location by Street address, City, and State)		
3. Assistance Requested/Received	4. HUD Program	5. Amount Requested/Received $

Part II. Threshold Determinations -- Applicants Only

1. Are you requesting HUD assistance for a specific project or activity, as provided by 24 CFR Part 12, Subpart C, **and** have you received, or can you reasonably expect to receive, an aggregate amount of all forms of covered assistance from HUD, States, and units of general local government, in excess of $200,000 during the Federal fiscal year (October 1 through September 30) in which the application is submitted? ☐ **Yes** ☐ **No**

   If Yes, you must complete the remainder of this report.

   If No, you must sign the certification below and answer the next question.

   I hereby certify that this information is true. (Signature)____________________ Date ________

2. Is this application for a specific housing project that involves other government assistance? ☐ **Yes** ☐ **No**

   If Yes, you must complete the remainder of this report.

   If No, you must sign this certification.

   I hereby certify that this information is true. (Signature)____________________ Date ________

If your answers to both questions are No, you do not need to complete Parts III, IV, or V, but you must sign the certification at the end of the report.

Part III. Other Government Assistance Provided/Requested

Department/State/Local Agency Name and Address	Program	Type of Assistance	Amount Requested/Provided

Is there other government assistance that is reportable in this Part and in Part V, but that is reported only in Part V? ☐ Yes ☐ No

If there is no other government assistance, you must certify that this information is true.

I hereby certify that this information is true. (Signature) ____________________ Date ________

form **HUD-2880** (3/92)
ref. Sec 102, HRA 1989; PL. 101 - 235

Part IV. Interested Parties

Alphabetical list of all persons with a reportable financial interest in the project or activity (for individuals, give the last name first)	Social Security Number or Employee ID Number	Type of Participation in Project/Activity	Financial Interest in Project/Activity ($ and %)

If there are no persons with a reportable financial interest, you must certify that this information is true.

I hereby certify that this information is true. (Signature) ______________________________ Date ____________

Part V. Report on Expected Sources and Uses of Funds

Source

If there are no sources of funds, you must certify that this information is true.

I hereby certify that this information is true. (Signature) ______________________________ Date __________

Use

If there are no uses of funds, you must certify that this information is true.

I hereby certify that this information is true. (Signature) ______________________________ Date __________

Certification

Warning: If you knowingly make a false statement on this form, you may be subject to civil or criminal penalties under Section 1001 of Title 18 of the United States Code. In addition, any person who knowingly and materially violates any required disclosure of information, including intentional non-disclosure, is subject to civil money penalty not to exceed $10,000 for each violation.

I certify that this information is true and complete.

Signature	Date

Public reporting burden for this collection of information is estimated to average 2.5 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not conduct or sponsor, and a person is not required to respond to, a collection information unless that collecton displays a valid OMB control number.

Privacy Act Statement. Except for Social Security Numbers (SSNs) and Employer Identification Numbers (EINs), the Department of Housing and Urban Development (HUD) is authorized to collect all the information required by this form under section 102 of the Department of Housing and Urban Development Reform Act of 1989, 42 U.S.C. 3531. Disclosure of SSNs and EINs is optional. The SSN or EIN is used as a unique identifier. The information you provide will enable HUD to carry out its responsibilities under Sections 102(b), (c), and (d) of the Department of Housing and Urban Development Reform Act of 1989, Pub. L. 101-235, approved December 15, 1989. These provisions will help ensure greater accountability and integrity in the provision of certain types of assistance administered by HUD. They will also help ensure that HUD assistance for a specific housing project under Section 102(d) is not more than is necessary to make the project feasible after taking account of other government assistance. HUD will make available to the public all applicant disclosure reports for five years in the case of applications for competitive assistance, and for generally three years in the case of other applications. Update reports will be made available along with the disclosure reports, but in no case for a period generally less than three years. All reports, both initial reports and update reports, will be made available in accordance with the Freedom of Information Act (5 U.S.C. §552) and HUD's implementing regulations at 24 CFR Part 15. HUD will use the information in evaluating individual assistance applications and in performing internal administrative analyses to assist in the management of specific HUD programs. The information will also be used in making the determination under Section 102(d) whether HUD assistance for a specific housing project is more than is necessary to make the project feasible after taking account of other government assistance. You must provide all the required information. Failure to provide any required information may delay the processing of your application, and may result in sanctions and penalties, including imposition of the administrative and civil money penalties specified under 24 CFR §12.34.

Note: This form only covers assistance made available by the Department. States and units of general local government that carry out responsibilities under Sections 102(b) and (c) of the Reform Act must develop their own procedures for complying with the Act.

Instructions (See Note 1 on last page.)

I. Overview. Subpart C of 24 CFR Part 12 provides for (1) initial reports from applicants for HUD assistance and (2) update reports from recipients of HUD assistance. An overview of these requirements follows.

A. Applicant disclosure (initial) reports: General. All applicants for assistance from HUD for a specific project or activity must make a number of disclosures, if the applicant meets a dollar threshold for the receipt of covered assistance during the fiscal year in which the application is submitted. The applicant must also make the disclosures if it requests assistance from HUD for a specific housing project that involves assistance from other governmental sources.

Applicants subject to Subpart C must make the following disclosures:

Assistance from other government sources in connection with the project,

The financial interests of persons in the project,

The sources of funds to be made available for the project, and

The uses to which the funds are to be put.

B. Update reports: General. All recipients of covered assistance must submit update reports to the Department to reflect substantial changes to the initial applicant disclosure reports.

C. Applicant disclosure reports: Specific guidance. The applicant must complete all parts of this disclosure form if **either** of the following **two** circumstances in paragraph 1. or 2., below, applies:

1.a. Nature of Assistance. The applicant submits an application for assistance for a specific project or activity (See Note 2) in which:

HUD makes assistance available to a recipient for a specific project or activity; or

HUD makes assistance available to an entity (other than a State or a unit of general local government), such as a public housing agency (PHA), for a specific project or activity, where the application is required by statute or regulation to be submitted to HUD for any purpose; **and**

b. Dollar Threshold. The applicant has received, or can reasonably expect to receive, an aggregate amount of all forms of assistance (See Note 3) from HUD, States, and units of general local government, in excess of $200,000 during the Federal fiscal year (October 1 through September 30) in which the application is submitted. (See Note 4)

2. The applicant submits an application for assistance for a specific housing project that involves other government assistance. (See Note 5) Note: There is no dollar threshold for this criterion: **any** other government assistance triggers the requirement. (See Note 6)

If the Application meets **neither** of these two criteria, the applicant need only complete Parts I and II of this report, as well as the certification at the end of the report. If the Application meets **either** of these criteria, the applicant must complete the entire report.

The applicant disclosure report must be submitted with the application for the assistance involved.

D. Update reports: Specific guidance. During the period in which an application for covered assistance is pending, or in which the assistance is being provided (as indicated in the relevant grant or other agreement), the applicant must make the following additional disclosures:

1. Any information that should have been disclosed in connection with the application, but that was omitted.

2. Any information that would have been subject to disclosure in connection with the application, but that arose at a later time, including information concerning an interested party that now meets the applicable disclosure threshold referred to in Part IV, below.

3. For changes in previously disclosed other government assistance:

For programs administered by the Assistant Secretary for Community Planning and Development, any change in other government assistance that exceeds the amount of such assistance that was previously disclosed by $250,000 or by 10 percent of the assistance (whichever is lower).

For all other programs, any change in other government assistance that exceeds the amount of such assistance that was previously disclosed.

4. For changes in previously disclosed financial interests, any change in the amount of the financial interest of a person that exceeds the amount of the previously disclosed interests by $50,000 or by 10 percent of such interests (whichever is lower).

5. For changes in previously disclosed sources or uses of funds:

a. For programs administered by the Assistant Secretary for Community Planning and Development:

Any change in a source of funds that exceeds the amount of all previously disclosed sources of funds by $250,000 or by 10 percent of those sources (whichever is lower); and

Any change in a use of funds under paragraph (b)(1)(iii) that exceeds the amount of all previously disclosed uses of funds by $250,000 or by 10 percent of those uses (whichever is lower).

b. For all programs, other than those administered by the Assistant Secretary for Community Planning and Development:

For projects receiving a tax credit under Federal, State, or local law, any change in a source of funds that was previously disclosed.

For all other projects, any change in a source of funds that exceeds the lower of:

The amount previously disclosed for that source of funds by $250,000, or by 10 percent of the amount previously disclosed for that source, whichever is lower; or

The amount previously disclosed for all sources of funds by $250,000, or by 10 percent of the amount previously disclosed for all sources of funds, whichever is lower.

c. For all programs, other than those administered by the Assistant Secretary for Community Planning and Development:

For projects receiving a tax credit under Federal, State, or local law, any change in a use of funds that was previously disclosed.

For all other projects, any change in a use of funds that exceeds the lower of:

The amount previously disclosed for that use of funds by $250,000, or by 10 percent of the amount previously disclosed for that use, whichever is lower; or

The amount previously disclosed for all uses of funds by $250,000, or by 10 percent of the amount previously disclosed for all uses of funds, whichever is lower.

Note: Update reports must be submitted within 30 days of the change requiring the update. The requirement to provide update reports only applies if the application for the underlying assistance was submitted on or after the effective date of Subpart C.

II. Line-by-Line Instructions.

A. Part I. Applicant/Recipient Information.

All applicants for HUD assistance specified in Section I.C.1.a., above, as well as all recipients required to submit an update report under Section I.D., above, must complete the information required by Part I. The applicant/recipient must indicate whether the disclosure is an initial or an update report. Line-by-line guidance for Part I follows:

1. Enter the full name, address, city, State, zip code, and telephone number (including area code) of the applicant/recipient. Where the applicant/recipient is an individual, the last name, first name, and middle initial must be entered. Entry of the applicant/recipient's SSN or EIN, as appropriate, is optional.

2. Applicants enter the name and full address of the project or activity for which the HUD assistance is sought. Recipients enter the name and full address of the HUD-assisted project or activity to which the update report relates. The most appropriate government identifying number must be used (e.g., RFP No.; IFB No.; grant announcement No.; or contract, grant, or loan No.) Include prefixes.

3. Applicants describe the HUD assistance referred to in Section I.C.1.a. that is being requested. Recipients describe the HUD assistance to which the update report relates.

4. Applicants enter the HUD program name under which the assistance is being requested. Recipients enter the HUD program name under which the assistance, that relates to the update report, was provided.

5. Applicants enter the amount of HUD assistance that is being requested. Recipients enter the amount of HUD assistance that has been provided and to which the update report relates. The amounts are those stated in the application or award documentation. NOTE: In the case of assistance that is provided pursuant to contract over a period of time (such as project-based assistance under section 8 of the United States Housing Act of 1937), the amount of assistance to be reported includes all amounts that are to be provided over the term of the contract, irrespective of when they are to be received.

Note: In the case of Mortgage Insurance under 24 CFR Subtitle B, Chapter II, the mortgagor is responsible for making the applicant disclosures, and the mortgagee is responsible for furnishing the mortgagor's disclosures to the Department. Update reports must be submitted directly to HUD by the mortgagor.

Note: In the case of the Project-Based Certificate program under 24 CFR Part 882, Subpart G, the owner is responsible for making the applicant disclosures, and the PHA is responsible for furnishing the owner's disclosures to HUD. Update reports must be submitted through the PHA by the owner.

B. Part II. Threshold Determinations — Applicants Only

Part II contains information to help the applicant determine whether the remainder of the form must be completed. **Recipients filing Update Reports should not complete this Part.**

1. The first question asks whether the applicant meets the Nature of Assistance and Dollar Threshold requirements set forth in Section I.C.1. above.

If the answer is Yes, the applicant must complete the remainder of the form. If the answer is No, the form asks the applicant to certify that its response is correct, and to complete the next question.

2. The second question asks whether the application is for a specific housing project that involves other government assistance, as described in Section I.C.2. above.

If the answer is Yes, the applicant must complete the remainder of the form. If the answer is No, the form asks the applicant to certify that its response is correct.

If the answer to both questions1 and 2 is No, the applicant need not complete Parts III, IV, or V of the report, but must sign the certification at the end of the form.

C. Part III. Other Government Assistance.

This Part is to be completed by both applicants filing applicant disclosure reports and recipients filing update reports. Applicants must report any other government assistance involved in the project or activity for which assistance is sought. Recipients must report any other government assistance involved in the project or activity, to the extent required under Section I.D.1., 2., or 3., above.

Other government assistance is defined in note 5 on the last page. For purposes of this definition, other government assistance is expected to be made available if, based on an assessment of all the circumstances involved, there are reasonable grounds to anticipate that the assistance will be forthcoming.

Both applicant and recipient disclosures must include all other government assistance involved with the HUD assistance, as well as any other government assistance that was made available before the request, but that has continuing vitality at the time of the request. Examples of this latter category include tax credits that provide for a number of years of tax benefits, and grant assistance that continues to benefit the project at the time of the assistance request.

The following information must be provided:

1. Enter the name and address, city, State, and zip code of the government agency making the assistance available. Include at least one organizational level below the agency name. For example, U.S. Department of Transportation, U.S. Coast Guard; Department of Safety, Highway Patrol.

2. Enter the program name and any relevant identifying numbers, or other means of identification, for the other government assistance.

3. State the type of other government assistance (e.g., loan, grant, loan insurance).

4. Enter the dollar amount of the other government assistance that is, or is expected to be, made available with respect to the project or activities for which the HUD assistance is sought (applicants) or has been provided (recipients).

If the applicant has no other government assistance to disclose, it must certify that this assertion is correct.

To avoid duplication, if there is other government assistance under this Part and Part V, the applicant/recipient should check the appropriate box in this Part and list the information in Part V, clearly designating which sources are other government assistance.

D. Part IV. Interested Parties.

This Part is to be completed by both applicants filing applicant disclosure reports and recipients filing update reports.

Applicants must provide information on:

(1) All developers, contractors, or consultants involved in the application for the assistance or in the planning, development, or implementation of the project or activity and

(2) any other person who has a financial interest in the project or activity for which the assistance is sought that exceeds $50,000 or 10 percent of the assistance (whichever is lower).

Recipients must make the additional disclosures refferred to in Section I.D.1.,2., or 4, above.

Note: A financial interest means any financial involvement in the project or activity, including (but not limited to) situations in which an individual or entity has an equity interest in the project or activity, shares in any profit on resale or any distribution of surplus cash or other assets of the project or activity, or receives compensation for any goods or services provided in connection with the project or activity. Residency of an individual in housing for which assistance is being sought is not, by itself, considered a covered financial interest.

The information required below must be provided.

1. Enter the full names and addresses of all persons referred to in paragraph (1) or (2) of this Part. If the person is an entity, the listing must include the full name of each officer, director, and principal stockholder of the entity. All names must be listed alphabetically, and the names of individuals must be shown with their last names first.

2. Entry of the Social Security Number (SSN) or Employee Identification Number (EIN), as appropriate, for each person listed is optional.

3. Enter the type of participation in the project or activity for each person listed: i.e., the person's specific role in the project (e.g., contractor, consultant, planner, investor).

4. Enter the financial interest in the project or activity for each person listed. The interest must be expressed both as a dollar amount and as a percentage of the amount of the HUD assistance involved.

If the applicant has no persons with financial interests to disclose, it must certify that this assertion is correct.

5. Part V. Report on Sources and Uses of Funds. This Part is to be completed by both applicants filing applicant disclosure reports and recipients filing update reports.

The applicant disclosure report must specify all expected sources of funds — both from HUD and from any other source — that have been, or are to be, made available for the project or activity. Non-HUD sources of funds typically include (but are not limited to) other government assistance referred to in Part III, equity, and amounts from foundations and private contributions. The report must also specify all expected uses to which funds are to be put. All sources and uses of funds must be listed, if, based on an assessment of all the circumstances involved, there are reasonable grounds to anticipate that the source or use will be forthcoming.

Note that if any of the source/use information required by this report has been provided elsewhere in this application package, the applicant need not repeat the information, but need only refer to the form and location to incorporate it into this report. (It is likely that some of the information required by this report has been provided on SF 424A, and on various budget forms accompanying the application.) If this report requires information beyond that provided elsewhere in the application package, the applicant must include in this report all the additional information required.

Recipients must submit an update report for any change in previously disclosed sources and uses of funds as provided in Section I.D.5., above.

General Instructions — sources of funds

Each reportable source of funds must indicate:

a. The name and address, city, State, and zip code of the individual or entity making the assistance available. At least one organizational level below the agency name should be included. For example, U.S. Department of Transportation, U.S. Coast Guard; Department of Safety, Highway Patrol.

b. The program name and any relevant identifying numbers, or other means of identification, for the assistance.

c. The type of assistance (e.g., loan, grant, loan insurance).

Specific instructions — sources of funds.

(1) For programs administered by the Assistant Secretaries for Fair Housing and Equal Opportunity and Policy Development and Research, each source of funds must indicate the total amount of approved, and received; and must be listed in descending order according to the amount indicated.

(2) For programs administered by the Assistant Secretaries for Housing-Federal Housing Commissioner, Community Planning and Development, and Public and Indian Housing, each source of funds must indicate the total amount of funds involved, and must be listed in descending order according to the amount indicated.

(3) If Tax Credits are involved, the report must indicate all syndication proceeds and equity involved.

General instructions—uses of funds.

Each reportable use of funds must clearly identify the purpose to which they are to be put. Reasonable aggregations may be used, such as "total structure" to include a number of structural costs, such as roof, evevators, exterior masonry, etc.

Specific instructions -- uses of funds.

(1) For programs administered by the Assistant Secretaries for Fair Housing and Equal Opportunity and Policy Development and Research, each use of funds must indicate the total amount of funds involved; must be broken down by amount committed, budgeted, and planned; and must be listed in descending order according to the amount indicated.

(ii) For programs administered by the Assistant Secretaries for Housing-Federal Housing Commissioner, Community Planning and Development, and Public and Indian Housing, each use of funds must indicate the total amount of funds involved and must be listed in descending order according to the amount involved.

(iii) If any program administered by the Assistant Secretary for Housing-Federal Housing Commissioner is involved, the report must indicate all uses paid from HUD sources and other sources, including syndication proceeds. Uses paid should include the following amounts.

AMPO
Architect's fee — design
Architect's fee — supervision
Bond premium
Builder's general overhead
Builder's profit
Construction interest
Consultant fee
Contingency Reserve
Cost certification audit fee
FHA examination fee
FHA inspection fee
FHA MIP
Financing fee
FNMA / GNMA fee
General requirements
Insurance
Legal — construction
Legal — organization
Other fees
Purchase price
Supplemental management fund
Taxes
Title and recording
Operating deficit reserve
Resident initiative fund
Syndication expenses
Working capital reserve
Total land improvement
Total structures

Uses paid from syndication must include the following amounts:

Additional acquisition price and expenses
Bridge loan interest
Development fee
Operating deficit reserve
Resident initiative fund
Syndication expenses
Working capital reserve

Footnotes:

1. All citations are to 24 CFR Part 12, which was published in the Federal Register on March 14, 1991 at 56 Fed. Reg. 11032.
2. A list of the covered assistance programs can be found at 24 CFR §12.30, or in the rules or administrative instructions governing the program involved. Note: The list of covered programs will be updated perodically.
3. Assistance means any contract, grant, loan, cooperative agreement, or other form of assistance, including the insurance or guarantee of a loan or mortgage, that is provided with respect to a specific project or activity under a program administered by the Department. The term does not include contracts, such as procurements contracts, that are subject to the Federal Acquisition Regulation (FAR) (48 CFR Chapter 1).
4. See 24 CFR §§12.32 (a)(2) and (3) for detailed guidance on how the threshold is calculated.
5. "Other government assistance" is defined to include any loan, grant, guarantee, insurance, payment, rebate, subsidy, credit, tax benefit, or any other form of direct or indirect assistance from the Federal government (other than that requested from HUD in the application), a State, or a unit of general local government, or any agency or instrumentality thereof, that is, or is expected to be made, available with respect to the project or activities for which the assistance is sought.
6. For further guidance on this criterion, and for a list of covered programs, see 24 CFR §12.50.
7. For purposes of Part 12, a person means an individual (including a consultant, lobbyist, or lawyer); corporation; company; association; authority; firm; partnership; society; State, unit of general local government, or other government entity, or agency thereof (including a public housing agency); Indian tribe; and any other organization or group of people.

Certification Regarding Debarment and Suspension

U.S. Department of Housing and Urban Development

Certification A: Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Primary Covered Transactions

1. The prospective primary participant certifies to the best of its knowledge and belief that its principals;

a. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal debarment or agency;

b. Have not within a three-year period preceding this proposal, been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification, or destruction of records, making false statements, or receiving stolen property;

c. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

d. Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.

2. Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Instructions for Certification (A)

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was place when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause of default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms **covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded**, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of these regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines this eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10.Except for transactions authorized under paragraph (6) of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause of default.

Certification B: Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions

1. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

2. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Instructions for Certification (B)

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms **covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded**, as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of these regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph (5) of these instructions, if a participant in a lower covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies including suspension and/or debarment.

Applicant	Date

Signature of Authorized Certifying Official	Title

Certification of Consistency with the EZ/EC Strategic Plan

U.S. Department of Housing and Urban Development

I certify that the proposed activities/projects in this application are consistent with the Strategic Plan of a Federally-designated Empowerment Zone (EZ), Enterprise Community (EC), or Urban Enhanced Enterprise Community.

(Type or clearly print the following information:)

Applicant Name: ________________________________

Name of the Federal Program to which the applicant is applying: ________________________________

Name of EZ/EC: ________________________________

I further certify that the proposed activities/projects will be located within the EZ/EC and serves EZ/EC residents. (2 points)

Name of the Official Authorized to Certify the EZ/EC: ________________________________

Title: ________________________________

Signature: ________________________________

Date: ____________________

form **HUD-2990** (3/98)

Certification of Consistency with the Consolidated Plan

U.S. Department of Housing and Urban Development

I certify that the proposed activities/projects in the application are consistent with the jurisdiction's current, approved Consolidated Plan. (Type or clearly print the following information:)

Applicant Name: ______________________________

Project Name: ______________________________

Location of the Project: ______________________________

____

____

Name of the Federal Program to which the applicant is applying: ______________________________

Name of Certifying Jurisdiction: ______________________________

Certifying Official of the Jurisdiction Name: ______________________________

Title: ______________________________

Signature: ______________________________

form **HUD-2991** (3/98)

Acknowledgment of Application Receipt

U.S. Department of Housing
and Urban Development

Type or clearly print the Applicant's name and full address in the space below.

(fold line)

Type or clearly print the following information:

Name of the Federal Program to which the applicant is applying: ______________________

To Be Completed by HUD

☐ HUD received your application by the deadline and will consider it for funding. In accordance with Section 103 of the Department of Housing and Urban Development Reform Act of 1989, no information will be released by HUD regarding the relative standing of any applicant until funding announcements are made. However, you may be contacted by HUD after initial screening to permit you to correct certain application deficiencies.

☐ HUD did not receive your application by the deadline; therefore, your application will not receive further consideration. Your application is:

- ☐ Enclosed
- ☐ Being sent under separate cover

Processor's Name ______________________

Date of Receipt ______________________

You are our Client!
Your comments and suggestions, please!

In the spirit of reinventing government, as outlined in Vice-President Al Gore's National Performance Review, much attention has been given to streamlining and simplifying the application process. While working within the statutes governing the application and selection process, we have, in preparing this Notice of Funding Availability (NOFA) and application form, tried to produce a more user-friendly, customer driven document. Please let us have your comments and suggestions. You may leave this form attached to your application, or feel free to detach the form and return to us.

Please Provide Comments on HUD's Efforts:

The NOFA (please circle one):

(a) is clear and easily understandable

(b) better than before, but still needs improvement (please specify)

(c) other (please specify)

The application form (please circle one):

(a) is acceptable given the volume of information required by statute and the volume of information required for accountability in selecting and funding projects.

(b) is simpler and more user-friendly than before, but still needs work (please specify).

(c) other comments (please specify)

Name & Organization (Optional):

Attach additional pages as necessary.